INSTITUTIONAL ARCHITECTURE FOR FOOD SECURITY POLICY CHANGE:

EAST AFRICA COMMUNITY

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EAST AFRICA COMMUNITY
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ACRONYMS AND ABBREVIATIONS

ASARECA	Association for Strengthening Agricultural Research in Eastern and Central Africa
AfDB	African Development Bank
AFSRD	Agriculture, Food Security and Rural Development
AOP	Annual Operational Plan
AUSAID	Australian Agency for International Development
CAADP	Comprehensive African Agricultural Development Plan
CM	Council of Ministers
CRO	Central Regional Organization (refers to the EAC Secretariat, based in Arusha)
CSO	Civil Society Organizations
DAFS	Department of Agriculture and Food Security (of EAC Secretariat)
DPs	Development Partners
EABC	East Africa Business Council
EAC	East African Community
EAC- CAADP	East Africa Comprehensive African Agricultural Development Plan
EALA	East African Legislative Assembly
EAC-DAFS	East African Community Department of Agriculture and Food Security
EAC-ARDP	East Africa Community Agricultural and Rural development Policy
EAC-ARDS	East African Community Agriculture and Rural Development Strategy
EAFF	Eastern Africa Farmers Federation
EAGC	Eastern African Grain Council
ESRF	Economic and Social Research Foundation
FAO	Food and Agriculture Organization
FSAP	Food Security Action Plan (of EAC)
M&E	Monitoring and Evaluation
MoU	Memoranda of Understanding
NFBSC	National Food Balance Sheet Committee
NGOs	Non-Governmental Organizations
NRM	Natural Resource Management
RECS	Regional Economic Communities
RFBS	Regional Food Balance Sheet
ReSAKSS	Regional Strategic Analysis and knowledge Support System
SMART	Specific, Monitorable, Attainable, Relevant, and Time-bound (ref. indicators)
TAHA	Tanzania Horticultural Association
TBD	Transboundary Animal Diseases
USAID	United States Agency for International Development

VISUAL EXECUTIVE SUMMARY

POSSIBLE EAC SCENARIOS.....taking a results focused approach.....

Goal: Fully integrated and effective EAC for contributing transformative and inclusive agricultural development and food security (FS) require sound regional policies, effective implementation/ coordination and mutual accountability.

What is the current scenario? What is the envisioned future scenario in the medium term 4 EAC?

Baseline/Current Scenario???

What is reflected in this scenario with respect to the current most binding challenges and constraints to achieving transformative agricultural development and food security in EAC?

Future Transformative Scenario ?????

What is reflected in this scenario with regards to required priority transformative changes to achieve agric. devt. and food security in EAC?

EXECUTIVE SUMMARY

INTRODUCTION: CONTEXT AND OBJECTIVES/APPROACH

EAC Policy Framework:

The EAC Agriculture and Food Security policy and other agricultural sector policies are based on the policies and programs of the Treaty establishing the East African Community (1999), EAC Agriculture and Rural Development Policy (EAC-ARDP), while the programs and projects for achieving the objectives are captured in the 25-year (2005-2030) multi-year EAC Agriculture and Rural Development Strategy (EAC-ARDS). These core policy frameworks provided the basis for developing the East Africa Community Food Security Action Plan (EAC-FSAP, 2011 - 2015), which provided strategic inputs for the 4th EAC Development Strategy (2011/12-2015/16). Also important is the EAC Common Market (approved in 2010).

EAC Sector Performance:

The overall performance of the agricultural sector in the five EAC Partner States has been below its potential and the overall CAADP 6% target agricultural growth rate. Also, the agro-industry sector in the EAC is stagnant, with little value addition in the manufacturing sectors. Some of the major crosscutting constraints which contribute to this below average performance include: inadequate research, education and skills development; inadequate financial and budget allocation; limited institutional capacity at the EAC Secretariat (and also Partner States); and weak institutional structure at the EAC Secretariat.

Strategic EAC Policy Responses:

In order to reverse the below average sectoral performance and to reassure each Partner State of regional food security, the Presidents of the Partner States mandated (in late 2010) the EAC Secretariat to prepare a Food Security Action Plan. Subsequently, EAC (DAFS) has formulated, validated, approved and launched for implementation a number of key policies (including SPS Protocol; standards for 24 commodities; Livestock Policy, Cooperative Policy, Food Security and Nutrition Policy (the latter three are being finalized). Currently, the EAC stakeholders, coordinated by DAFS, are in the process of completing an EAC CAADP Compact, and laying the foundation for carrying out a road map for developing the EAC investment plan.

Overview of the Assessment of the Food Security Policy Change Process:

At the request of USAID and in support of CAADP goals, Africa Lead has undertaken a series of assessments in 9 countries of institutional architecture by which agriculture and food security policy is made in individual countries. The review of the institutional architecture of the EAC is the first regional commission (and its component system and regional actors) to be assessed in terms of its capacity to carry out food security policy reform/change, using a similar methodology applied for the assessments of the above individual countries.

This analysis and recommendations will provide the USAID Bureau of Food Security, USAID country missions, local policymakers, and other strategic regional stakeholders with information on possible constraints and challenges that could stymie effective policy change. This assessment and resulting priority areas for technical assistance are intended to support and intensify on-going efforts to address implementation challenges, including getting policies right in order to enable the transformation being promoted by CAADP and the RECs at various levels.

Main Purpose

The purpose of the EAC institutional review, carried out in close collaboration with EAC Secretariat staff and other key regional stakeholders, is two-fold:

- To help ensure there is a broader knowledge among strategic stakeholders of how regional agricultural policy is made and implemented within the EAC, and how regional institutions, member governments and other stakeholders participate in the process; and

- To identify, together with the EAC Secretariat, its development and strategic partners, binding constraints and priority areas in which the institutional architecture and processes by which regional policies are made, implemented and evaluated, can be further strengthened. There will be an emphasis on regional capacity development priority activities which could contribute to the objectives through addressing binding constraints, taking a results-focus approach.

Approach and Methodology

The review team (from Africa Lead), working in close collaboration with EAC Secretariat staff/DAFS team, carried out a series of interviews/discussions with diverse strategic stakeholders (totaling 36) in the EAC Region, covering both state and non-state actors. These in-depth discussions generated key information and inputs for ensuring a participatory, ground-level, evidenced-based constructive and diverse perspectives on the EAC policy cycle/system, focusing on identifying key achievements, challenges and strategic priority interventions to address the identified "gaps".
The methodology involved carrying out three distinct and complementary components and supporting activities, as outlined below: Part I: Mapping of Institutional Architecture Inventory; Part II: Capacity of Food Security Policy Reform; and Part III: Strategic Recommendations.

The following elements are contained in the review framework (with an emphasis on regional aspects):

- Policy Element 1: Predictability of the Guiding Policy Framework
- Policy Element 2: Policy Development and Coordination
- Policy Element 3: Inclusivity and Stakeholder Consultation
- Policy Element 4: Evidence-based Analysis
- Policy Element 5: Policy Implementation
- Policy Element 6: Mutual Accountability

Each of these components is analyzed though a set of indicators that determine the capacity and effectiveness of the overall policy change process. Each indicator is assessed based on available information, using a rating system. The ratings for each indicator, which also reflects a self-rating by EAC stakeholders, highlights the priority and level of attention needed to improve the effectiveness of the current condition. Indicators are accompanied with a narrative analysis of key gaps and constraints to the policy change process.

MAIN CONCLUSIONS

With respect to Mapping of Institutional Actors:

The assessment exercise has benefited from the valuable inputs from diverse and strategic regional and Partner State stakeholders. They have demonstrated a keen interest in the exercise, as a way to facilitate their more effective engagement in the large and ambitious food security policy change agenda in the EAC. The institutional mapping shows that there are a relatively large number of technical regional and Partner State organizations involved in the food security policy cycle. Most of them

demonstrate good capacity and strong commitment to engaging and supporting the EAC food security policy change. At the same time, there is diversity in country coverage, level of technical capacities, organizational sustainability prospects, since many rely on development partners funding. Also, there is a tendency for the various actors to work together on an ad-hoc basis, rather than systematically in a well-coordinated fashion. A lot of the collaboration seems to depend on individual initiatives and existing relationships. This implies that there is good potential for strengthening the coordination and systematic collaboration amongst the various actors, with the requirements to be determined on a case-by-case basis. Furthermore, if well managed and coordinated, this scenario provides the EAC DAFS a good and needed opportunity to expand its technical capacities, and to strengthen its absorptive capacity for managing a large agenda, given current severe staffing and funding constraints faced by the DAFS.

With respect to the Assessment of Food Policy Cycle and Change Process:

The core portion of this assessment exercise focused on identifying strategic achievements/outcomes, key challenges and identified gaps of the EAC policy change cycle/system. These have been highlighted for each of the six policy areas, and their component indicators, together with corresponding strategic recommendations. Rather than repeating them here, the following section highlights the most important common and crosscutting areas which warrant priority attention from the perspective of enhancing the efficiency and effectiveness of the EAC food security policy agenda and cycle. The three case studies reviewed in this report also highlight some specific and notable achievements, challenges and emerging lessons. The overall ratings for the 6 policy areas range from 4 to 7, based on a scale from 1-10 (with implementation aspects getting a rating of 4 and requiring greater attention; mutual accountability and evidence-based analysis gets a "marginal" rating of 5, which also suggests a productive scope for enhancements). These ratings suggest that the food security policy change in the EAC, from the perspective of generating evidenced-based outcome and impact results, warrants considerable improvements. Based on very constructive inputs from regional stakeholders, this report recommends priority actions, which, if effectively supported and implemented, can enable achievement of a higher rating within several years (for ratings and recommendations according to each indicator corresponding to the six policy areas, see Chapter 3). At the same time, there are encouraging signs that the food security policy cycle is improving, and there are regional stakeholder groups who are well qualified to provide further assistance, which could enable moving upwards towards a rating of 10, over the next few years, if the right conditions and support are provided (with further details in the text).

Major EAC Achievements on agricultural and food security agenda includes the approval and implementation processes of (dates indicate year of approval):

- EAC Agricultural and Rural Development Policy (November 2006);
- EAC Agricultural and Rural Development Strategy (2005-2030);
- EAC Food Security Action Plan (2011-2015);
- EAC Industrialization Development Policy and Strategy (2012);
- SPS Protocol (approved, and awaiting ratification);
- Regional standards harmonization for 24 agricultural commodities
- Aflatoxin Policy (in initial stages of formulation)
- EAC Livestock Policy (advanced stage)
- Aquaculture Strategy and Implementation Plan (draft stage)
- Regional Food Security and Nutrition Policy (advanced stage)
- EAC CAADP Compact (advanced stage).

Major EAC Crosscutting Challenges include 7 broad areas:

(1) **EAC Structural Issues**:

A recent study was commissioned by the EAC Secretariat (draft June 2013), on the directive of the Council of Ministers, which carried out a review of the institutional functions of the EAC organs. The current study focused on inferring the implications of the broader EAC institutional review on the following aspects:

(i) Substantive proposed EAC reform recommendations;
(ii) Scope of key issues;
(iii) Relevance for DAFS;
(iv) Third Institutional Review;
(v) Uncertainty of next review outcome; and
(vi) Interim coping strategies for DAFS.

(2) Technical Staffing and Funds of the DAFS:

The EAC institutional review and reconfirmed by the current assessment highlighted severe staffing constraints facing virtually all departments of the EAC Secretariat. These include:

(i) DAFS staffing constraints (involving agronomy; animal health; fisheries and M&E);
(ii) Key technical gaps constrains the capacity to fully absorb and utilize evidenced-based analysis;
(iii) Over-reliance on consultants impedes continuity and institutional memory;
(iv) Use of contractual consultants provides an interim coping measure; and
(v) Budgetary constraints and implications for getting results.

(3) Identification and Prioritization of a Large Agenda of Agriculture and Food Security:

Over the past few years, the agenda for agriculture and food security has been growing progressively (as reflected in the Annual Operational Plans (AOPs) of DAFS, Sectoral Council proceedings). Some of the key challenges include:

(i) Large number of activities in the FSAP;
(ii) Concurrent activities which impede effective implementation and results of the more critical ones;
(iii) Lack of sharp prioritization, especially in the light of limited technical and funding resources, thereby allowing a "supply orientation" driving the expanding Food Security agenda;
(iv) Reliance on good will of Partner States;
(v) Bundling of issues, which may dilute the intended effectiveness of policies; and
(vi) CAADP Regional Compact and Investment Plan, adding on to the already heavy work load of the DAFS team, while recognizing the importance of these two processes and supportive instruments to the EAC agenda.

There are a potential number of tools and modalities which can enhance the identification and prioritization processes and decision-making (as discussed in the full report), and thereby better support the important role of the Sectoral Council, the DAFS team and the CAADP regional processes.

(4) Evidenced-Based Analysis:

In recent years, there has been a growing role of introducing evidence-based analysis as a key input for the design of proposed food security policies (e.g., the FSAP was underpinned by a background study carried out by two regional think-tanks (Kilimo Trust and ESRF), and facilitated the speedy approval by the Presidents of the five Partner States. The analytical study provided:

(i) Priority areas for improvements of the regional food security situation; and

(ii) Support to EALA decisions

(5) Extensive consultation and decision-making processes:

As stated above, a key feature and strength of the EAC cycle is the importance attached to ensuring adequate consultations/validation with diverse country and regional stakeholders, particularly in the approval process. Some of the major constraints include:

(i) Extensive consultation requirements, while recognizing that the consultations focus on the approval stage, and do not devote much attention to other key stages in the cycle;
(ii) Postponement of consultations; the necessary consultations and approval processes take time and resources that are not always available
(iii) Inadequate participation of a cross section of private sector actors;
(iv) Uneven consultation quality, especially to better identify potential resistance at implementation;
(v) Uneven sectoral council role/capacities, given large and varied agenda; and
(vi) Dissemination gap, once policies are agreed/approved. There is no evidence to show that the policies are disseminated widely to the different stakeholders, and using enhanced processes to promote effective implementation and monitoring.

(6) Implementation "Culture", Capacities and Results:

While it is recognized that the tangible benefits of the food security policy cycle will be derived from the implementation phase, in practice there is a strong "culture" which gives much greater emphasis and recognition to the approval of regional policies, programs and projects. Virtually all stakeholders interviewed affirmed this point, and the following main challenges:

(i) Implementation Orientation: there is inadequate orientation of the Partner States beyond the Ministries of East Africa Community Affairs and Agriculture for implementation, when many policies require a wider range of implementation actors at the country level;
(ii) Primary Implementation Responsibility: Partner States have the primary responsibility of implementing policies, and thereby policies are implemented at the "will" of the states (which often changes when it comes to implementation), since EAC does not possess enforcement powers;
(iii) Uneven commitment and capacities to "push" implementation;
(iv) Uneven EAC policy and Partner State budgetary cycle;
(v) Weak DAFS implementation assistance role, given severe staffing shortages;
(vi) M&E System: There is lack of a M&E system that can track the progress and achievements being made in the EAC agriculture and food security sector system.

(7) Mutual Accountability:

The DAFS prepares and submits periodic progress reports as an input to the overall progress report of the EAC Secretariat, and to the Sectoral Council on Agriculture and Food Security (based on a template which is output oriented). However, the mutual accountability is still:

(i) in early stages, with limited accountability mechanisms in place and functioning to ensure various stakeholders are fulfilling realistic, agreed and expected roles, including a dynamic private sector; and

(ii) EAC enforcement authority is essentially non-existent, given the current EAC Protocol, thereby relying on the good will of Partner States (and whatever implementation assistance can be provided by the EAC Secretariat, which is limited, given its constraints).

STRATEGIC OPTIONS/RECOMMENDATIONS

Overall Framework:

In the light of the above conclusions on the main challenges which can stymie the achievements of strategic results in the EAC policy cycle, the review team has generated a cohesive diagnosis which provides the basis for an integrated package of crosscutting strategic recommendations/options (covering 6 areas). It is important that the DAFS team prioritizes and sequence their implementation, based on an operational plan, to ensure strategic and tangible results over the medium term (3 to 5 year timeframe). The recommendations also highlight areas where it can be possible to achieve some short-term gains. Figure 6.1 illustrates a planning, budgetary, implementation and governance cycle ("PBIG Cycle"), such that other country experiences suggest that this PBIG cycle can provide a useful roadmap and insights to securing strategic results (as defined through "SMART" indicators). It should be noted that a key "asset" to support the implementation of many of these recommendations is the existing underutilized capacity of EAC stakeholder organizations, which, if properly harnessed, mobilized and supported, can add significant value to supporting the food security policy cycle (see below).

(1) With regards to the EAC Structural Issues:

(i) Importance of the EAC Secretariat Management and Governance Actors (Council of Ministers) taking appropriate decisions and actions on the recommendations arising from the Institutional Review Report;

(ii) DAFS adopting an "Interim Strategy", given the uncertainty and timing of key decisions on the EAC Institutional Review, on matters "within DAFS control". For example this could include DAFS enhancing the alignment of its results targets, with those of IMPLEMENTORS (regional and national) on the ground, in line with the relevant strategies (and updated EAC results framework – see below). This means that DAFS should invest more its efforts in integrating and "in-crowding" programs of both the private and public sectors – so that such programs together support the objectives and priority targets set out in DAFS strategies and programs. This orientation has some important implications in terms of the competencies of the required DAFS staff to focus on this technical coordination work.

(2) With respect to the technical staffing and Funds of the DAFS and Other Key Stakeholders:

(i) Technical Staffing Aspects, especially to fill key technical positions (e.g., agronomy; animal health; fisheries; sectoral M&E specialists);

(ii) Interim Staffing Strategies (e.g., use of contractual consultants, well aligned with priority requirements of DAFS); and

(iii) Expanded operational funding to support the timely and inclusive stakeholder consultations and implementation of on-going activities.

(3) With respect to the Identification and Prioritization of Large Agenda of Agricultural and FS:

(i) EAC Results Framework, which can be a useful tool to help prioritize results-focused activities in terms of impact, outcome and output levels;
(ii) EAC Prioritization Criteria, which can be a complementary tool to sharpen priorities;
(iii) Mid-Term Review of the FSAP, which can help update priorities in the light of important developments since 2011;
(iv) Updated Sectoral Strategy, which can help consolidate and prioritize strategic elements in the light of important developments since 2006, and also provide inputs for the forthcoming EAC Medium Term Strategy; and
(v) Concept Note as a strategic screening/design and decision-making instrument, to help ensure initiatives are strategically selected and designed from the outset.

(4) With respect to Evidenced-Based Analysis:

(i) Develop justification-viability criteria-indicators, which would introduce enhanced rigor in the design and inclusion of priority regional activities/initiatives;
(ii) Have incidence analysis, which would help foresee the "winners" and "losers" of proposed policies, hence to enhance design and implementation prospects;
(iii) Develop a M&E Framework for the FSAP, which will provide an important instrument to better track evidenced-based progress and establish implementation priorities of the FSAP;
(iv) EAC M&E Framework for Agriculture and FS Agenda, which also will provide an important instrument to better track progress and establish implementation priorities of the growing FS agenda of DAFS;
(v) Have an enhanced agricultural database, which would provide a more reliable basis for planning and M&E of the growing FS agenda;
(vi) Develop joint Partnership Agreements/MOUs, which would draw on considerable analytical capacities of numerous regional entities (e.g. Kilimo Trust, ESRF, EAFF, EAGC, EABC, ReSAKSS-EA, others) to enhance the quality and effectiveness of the EAC food security policy cycle;
(vii) Establish and strengthen a Regionally Coordinated and Common EAC Agricultural Analysis Platform, which will help ensure that different regional stakeholders/think-tanks are working together and synergizing efforts;
(viii) Streamlined EAC Procedures, which would enable more efficient implementation of regional initiatives, including entering into joint partnership agreements/MOUs with qualified regional entities;
(ix) EAC-embedded SAKSS (which could draw on analysts from various regional think tanks), which follows the model at the country level to enhance short to medium term evidenced-based capacities of the DAFS to better manage a large and growing agenda, throughout the food security policy cycle (and not just formulation stage);

(5) With respect to the Implementation "Culture", Capacities and Results:

To help ensure ownership, relevance, and effective implementation, and drawing on existing capacities, to generate evidenced-based results, the recommended areas/activities involve:

(i) Enhanced technical capacity of DAFS and Partner States, based on the identification of key technical gaps (e.g., for DAFS, clear gaps have been identified involving agronomy, animal health, fisheries and M&E specialists); besides a greater need for more coordination capacity by the EAC for the regional program

(ii) Mid-Term Review of the FASP, which would establish updated priorities and enhance implementation effectiveness;

(iii) Budgetary Allocations, which would help ensure priority regional activities are adequately synchronized and funded with EAC and country budgetary cycles and allocations;

(iv) Budgetary tracking of the 10 % public expenditure target for the agricultural sector, which could also be used to fund regional initiatives (including the forthcoming EAC CAADP investment plan);

(v) Joint Implementation Partnerships/Agreements, which would draw on considerable implementation capacities of numerous regional entities (e.g. Kilimo Trust, ESRF, EAFF, EAGC, EABC, others) to enhance the quality and effectiveness of the EAC food security policy implementation phase; or alignment of plans with different stakeholders in the region as suggested in (4) above; and

(vi) M&E Framework for the FSAP, and sectoral programs as suggested above.

(6) With respect to mutual accountability:

(i) Periodic Development Partner (DP) Forums, which would help establish a prioritized agenda of dialogue and support, thereby helping to ensure alignment of DP priorities with EAC priorities, and hence a better basis for establishing mutual accountability of intentions and actions;

(ii) M&E needs to be re-oriented so as to assess the performance of the sector and how the various regional actors and their activities are contributing to that performance. The M&E reports would also be very useful inputs in mutual accountability processes where all stakeholders, including partner states, secretariat, development partners, private sector and non-state actors all take part. The EAC M&E framework should be clear about the roles and responsibilities of the different actors in the agricultural sector. The EAC M&E system should build on national M&E systems, as most implementation of policies and programs takes place at national level. There also is a need to strengthen national level M&E systems to ensure strong synergies with the regional M&E system.

1. INTRODUCTION AND CONTEXT [1]

1.1. Overview of the East African Community Policy Framework

The East African Community (EAC) Agriculture and Food Security policy and other agricultural sector policies are based on the policies and programs of the Treaty establishing the East African Community (1997), EAC Agriculture and Rural Development Policy (EAC-ARDP), while the programs and projects for achieving the objectives are captured in the 25-year (2005-2030) multi-year EAC Agriculture and Rural Development Strategy (EAC-ARDS). These core policy frameworks provided the basis for developing the East African Food Security Action Plan (EAC-FSAP, 2011), and provided strategic inputs for the and the 4th EAC Development Strategy (2011/12-2015-2016).

The current EAC 4th Development Strategy (2011/2012 - 2015/2016) identified seven priority areas, which cut across the four CAADP pillars, and with major focus in its Food Security Action Plan. The Development Strategy also includes the impact of Climate Change on agricultural production and productivity and the intervention measures to mitigate them. The priority areas highlighted in the EAC Strategy are: (a) provision of enabling policy, legal and institutional framework; (b) increasing food availability in sufficient quantity and quality; (c) improving access to food; (d) improving stability of food supply and access in the EAC region; (e) enhancing the efficiency of food utilization, nutrition, and food security; (f) implementing strategy and monitoring; and (g) resource mobilization and time frame.

1.2. Key Achievements and Challenges of Agricultural Development in the EAC Region

The overall performance of the agricultural sector in the five EAC Partner States has been below its potential and the overall CAADP 6% target agricultural growth rate. Also, the agro-industry sector in the EAC is stagnant, with little value addition in the manufacturing sectors. Some of the major cross-cutting constraints which contribute to this below average performance include: inadequate research, education and skills development; inadequate financial and budget allocation; limited institutional capacity at the EAC Secretariat (and also Partner States); weak institutional structure at the EAC Secretariat.

1.3. Strategic EAC Policy Responses

In order to reverse the below average sectoral performance and to reassure each Partner State of regional food security, the Presidents of the Partner States mandated (in late 2010) the EAC Secretariat to prepare a Food Security Action Plan. This was prepared/finalized in record speed/time, and approved by the EAC Summit in April 2011. Subsequently, EAC (DAFS) has formulated, validated, approved and launched for implementation a number of key policies (including SPS Protocol; standards for 24 commodities; Livestock Policy, Cooperative Policy, Food Security and Nutrition Policy. Currently, the EAC stakeholders, coordinated by DAFS, are in the process of completing an EAC CAADP Compact, and laying the foundation for carrying out a road map for the preparation of the EAC investment plan.

benefitsbenefits1 A comprehensive descriptive summary of information on the EAC's policy framework, strategy, institutional framework, agricultural sector characteristics and performance, constraints and priority investment options is presented in a report prepared to facilitate the EAC CAADP Compact: EAC Regional CAADP Compact Development Stocktaking Report (updated draft, September, 2013).

1.4. Overview of the Assessments of the Food Security Policy Change Process in EAC

At the request of USAID and in support of CAADP goals, Africa Lead [2] has undertaken a series of assessments of institutional architecture by which agriculture and food security policy is made in individual countries. [3] The countries in which such assessments have been conducted (2012 and 2013) include: Ethiopia, Tanzania, Uganda, Rwanda, Malawi, Ghana, Senegal, Mozambique, Zambia and DRC (the last two to be undertaken in October 2013). The review of the institutional architecture of the EAC is the first regional commission (and its component system and regional actors) to be assessed in terms of its capacity to carry out food security policy reform/change, using a similar methodology applied for the assessments of the above individual countries.

This analysis and recommendations will provide the USAID Bureau of Food Security, USAID country missions, local policymakers, and other strategic regional stakeholders with information on possible constraints and challenges that could stymie effective policy change. Accordingly, the review will: identify the technical assistance and other support requirements to address the binding constraints at the regional and Partner State levels; suggest priority actions to improve the food security policy capacity process, including the areas of transparency, predictability, inclusiveness and evidence-based analysis. This assessment and resulting priority areas for technical assistance are intended to support and intensify on-going efforts to address implementation challenges, including getting policies right in order to enable the transformation being promoted by CAADP and the RECs at various levels.

[2] Africa Lead is a capacity building program of USAID working to strengthen the capacity of Africa-wide, regional and country institutions to design, implement and measure agriculture policies and programs that will accelerate achievement of improved agricultural productivity and food security. Specifically, Africa Lead provides support to meet the goals of the USA Government's Feed the Future, which are aligned to the goals of the Africa-led Comprehensive Africa Agriculture Development Program (CAADP). The expected end result of Africa Lead initiatives are "Better designed, implemented and measured agriculture policies, plans and programs in Africa, leading to greater agricultural productivity and food security.

[3] "Institutional Architecture" is defined as the set of partner-country procedures and processes for data collection and analysis, consultation and dialogue, policy proposal, feedback, approval, implementation, and enforcement. "Food Security" is defined by Feed the Future as "when all people at all times have access to safe and sufficient food to meet their dietary needs for a productive and healthy life. There are four main components: availability, accessibility, utilization, and stability of food."

2. MAIN OBJECTIVES, SCOPE AND METHODOLOGY

2.1. Main Purpose:

The purpose of the EAC institutional review, in close collaboration with EAC Secretariat staff and other key regional stakeholders, is twofold:

- To help ensure there is a broader knowledge among strategic stakeholders of how regional agricultural policy is made and implemented within the EAC, and how regional institutions, member governments and other stakeholders participate in the process;

To identify, together with the EAC Secretariat, its development and strategic partners, binding constraints and priority areas in which the institutional architecture and processes by which regional policies are made, implemented and evaluated, can be further strengthened.

2.2. Approach and Methodology:

The review team (from Africa Lead), working in close collaboration with EAC Secretariat staff (coordinated by Moses Marwa), carried out a series of interviews/discussions with diverse strategic stakeholders in the EAC Region, covering both state and non-state actors (about 36; See Annex 1 for the full list of participants and their organizations). These in-depth discussions generated key information and inputs for ensuring a participatory, ground-level, evidenced-based constructive and diverse perspectives on the EAC policy cycle/system, focusing on identifying key achievements, challenges and strategic priority interventions to address the identified "gaps". The team prepared a template table which was used to facilitate the focus of the interviews/discussions, using a common framework and questions, consistent with the assessment methodology being applied at the country level and other RECs. Following the interviews, the team sent to each respondent an electronic copy of the guide questions so that they could complete the questions and ratings of the six core policy areas, in the spirit of a self-assessment exercise. While there was an effort to focus on generating relevant evidence, its availability varied, and therefore, there was reliance on discerning clear patterns in the perceptions by well-informed regional stakeholders. The fact that the perceptions (and ratings) were quite uniform and consistent helps establish confidence in the main findings. Also, once completing a draft report, it was distributed to the interviewed stakeholders for their comments/suggestions. Overall, there was excellent engagement and a good response rate on the guiding questions and ratings and feedback on the draft report. Their responses have proved to be very valuable, while also illustrating their high level of commitment to supporting the EAC food security agenda. Also, the assessment team accorded emphasis on regional capacity development priority activities which could contribute to the objectives through addressing binding constraints, taking a results-focus approach. The review methodology involved carrying out three distinct and complementary components and supporting activities, which are outlined below.

Part I: Mapping of Institutional Architecture Inventory: The first step in the assessment process was to map out the EAC key systems, processes, and relationships that influence the food security policy development process. This approach involved identifying and mapping the relationships among the following: the guiding policy framework; the key regional institutions that hold primary responsibility for implementation; inter-country ministerial coordination mechanisms; and private and civil society organizations – as well as think tanks and regional research organizations -- that impact and influence the food security policy change process. These factors will be examined in the context of the broader economic and social dynamics that impact the regional policy change environment.

Part II: Capacity of Food Security Policy Reform: The second part of this assessment involved an analysis of EAC's capacity to undertake transparent, inclusive, predictable, and evidence-based policy change. This was examined through the following six components of the policy change process and cycle to determine its 'readiness' and requirements for achieving policy change:

- Policy Element 1: Predictability of the Guiding Policy Framework
- Policy Element 2: Policy Development and Coordination
- Policy Element 3: Inclusivity and Stakeholder Consultation
- Policy Element 4: Evidence-based Analysis
- Policy Element 5: Policy Implementation
- Policy Element 6: Mutual Accountability

Each of these components was analyzed through a set of indicators (and related questions) that determine the capacity and effectiveness of the overall policy change process. Annex 2 presents further details on the content and status of each indicator. Each indicator and related questions were assessed using a rating system from 1 to 10 (with 1=poor performance; and 10=excellent performance, with regards to the responses to the questions and supporting evidence). [4] These ratings, to the extent they diverge from a rating of "10", highlight the priority and level of attention needed to improve the effectiveness of the condition. Indicators are accompanied with a narrative analysis of key gaps and constraints to the policy change process. Moreover, indicators serve as a baseline of EAC's capacity to undertake policy change and comparisons which could be made in about one year to ascertain progress made.

Part III: Recommendations

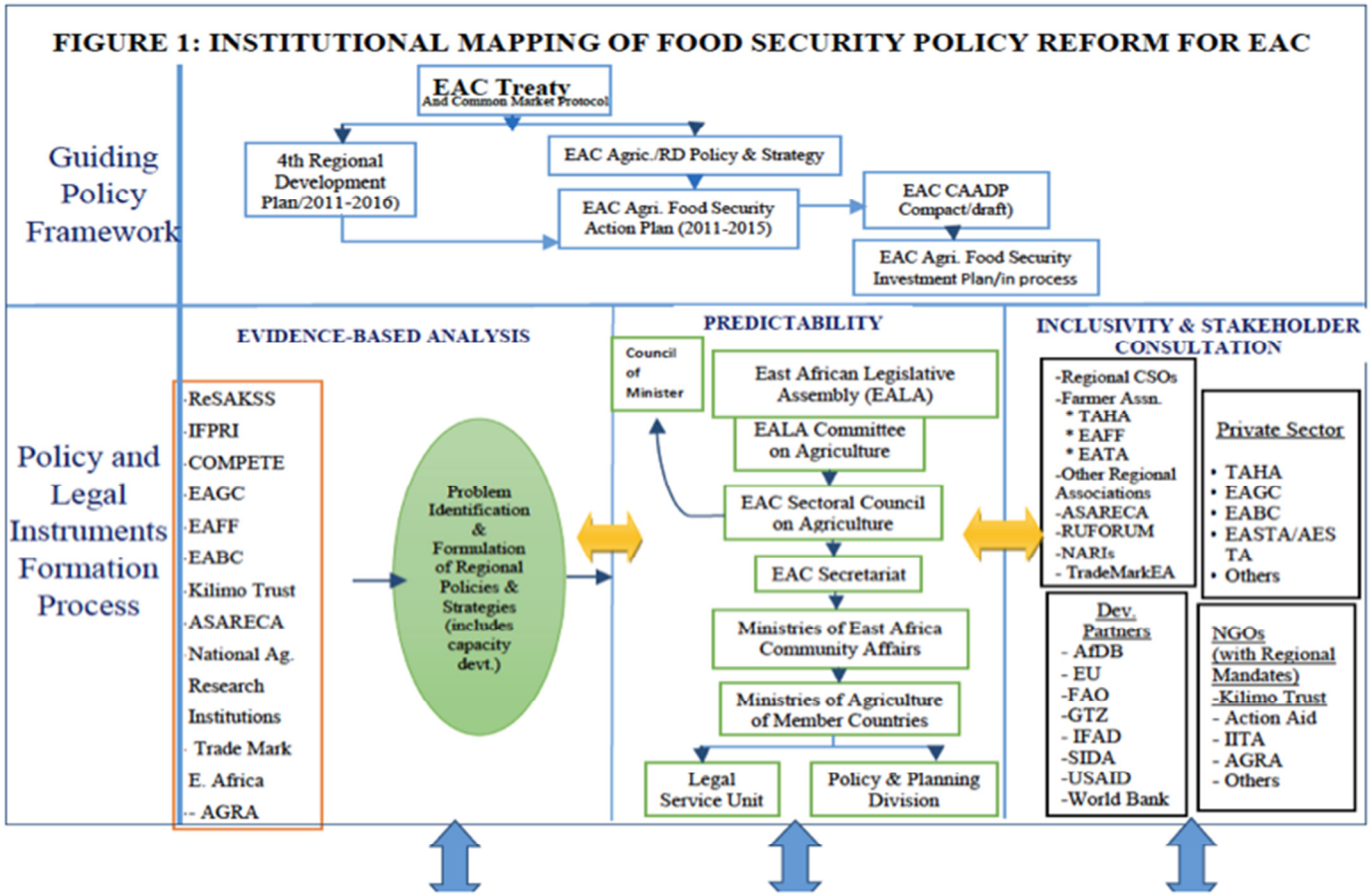
The assessment exercise, including many of the recommendations, has benefited from the valuable inputs from diverse and strategic regional and Partner State stakeholders. They have demonstrated a keen interest in the exercise, as a way to facilitate their more effective engagement in the large and ambitious food security policy change agenda in the EAC. The third part is a succinct section that derives conclusions based upon the above set of findings, and consolidates/develops recommendations for future priorities and action. The assessment team was able to document information and which should be objectively verifiable – and should be directly supported by the findings derived through the assessment framework analysis process. While many of the recommendations are not entirely new, the added-value lies in a consolidation, prioritization and linkages of the six policy areas for achieving enhanced food security policy change, and involves both demand/supply aspects and state and non-state actors.

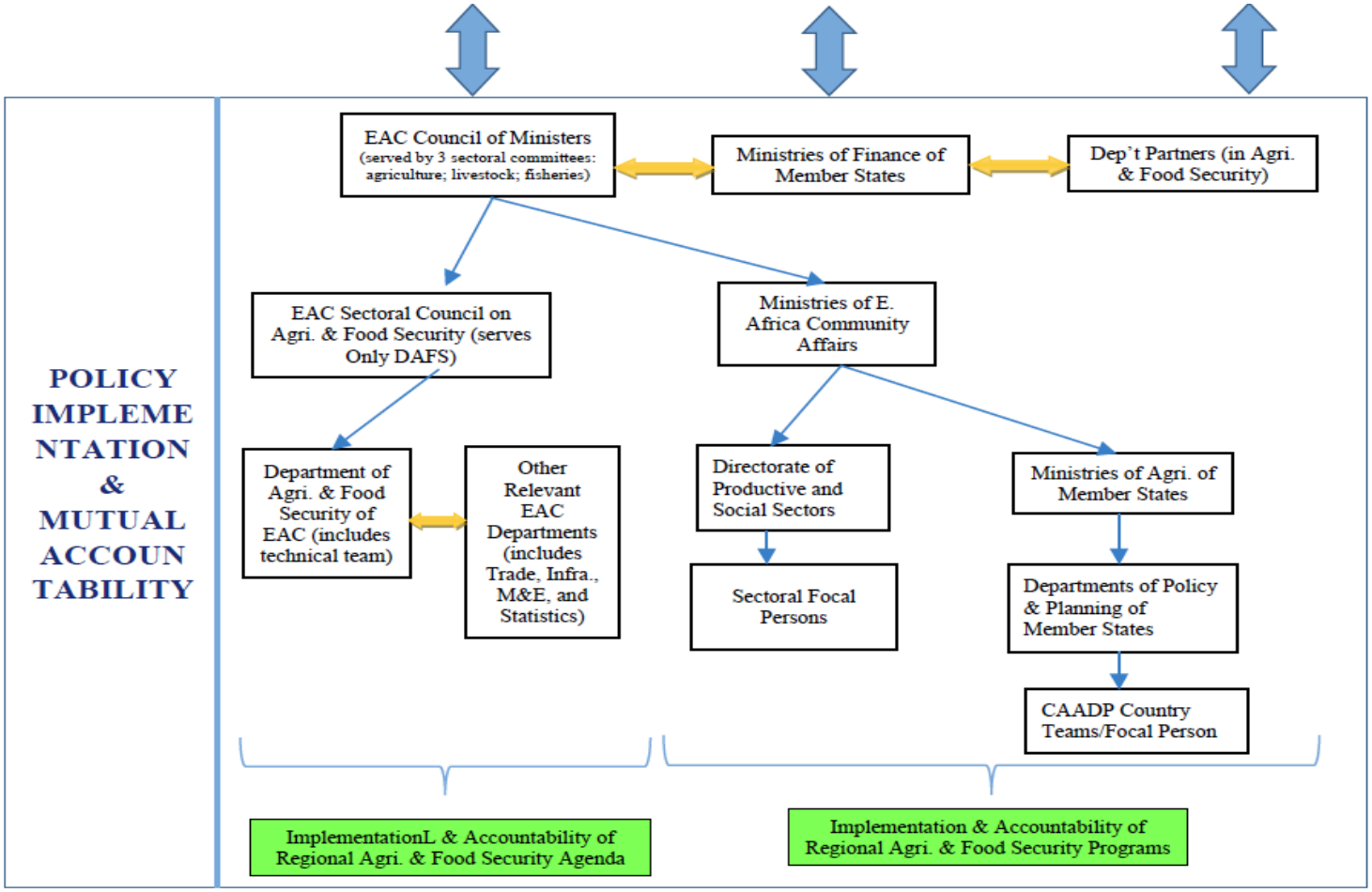
[4] The color equivalents to the numerical ratings are assumed to be as follows: red= 1 – 4; yellow = 5 – 8; green = 9 -10. The color rating system was used by other country-level institutional assessment, therefore, this EAC review follows a consistent methodology (with the numerical ratings providing a greater degree of variation). The intent of the rating system is to establish a "baseline", and to identify priority actions which will enable the relevant indicator to improve its rating (or current status) over a period of several years, based on evidence and results.

3. MAPPING OF FOOD POLICY CHANGE PROCESS IN EAC

Overview:

The institutional mapping (see Figure 1) shows that there are a relatively large number of technical regional and Partner State organizations involved in the food security policy cycle. Most of them demonstrate good capacity and strong commitment to engaging and supporting the EAC food security policy change. At the same time, there are different levels of authority and power among the various state and non-state actors (e.g., Ministries of Finance, of Agriculture, EAC Affairs, EAC Secretariat, varied regional and country level non-state actors), diversity in country coverage, level of technical capacities, organizational sustainability prospects (since many rely on development partners funding). Also, there is a tendency for the various actors to work together on an ad-hoc basis, rather than systematically in a well-coordinated fashion. A lot of the collaboration seems to depend on individual initiatives and existing relationships. This implies that there is good potential for strengthening the coordination and systematic collaboration amongst the various actors, to be determined on the specific requirements. Furthermore, if well managed and coordinated, this scenario provides the EAC DAFS a good and needed opportunity to expand its technical capacities, absorptive capacity for managing a large agenda, given current severe staffing and funding constraints.

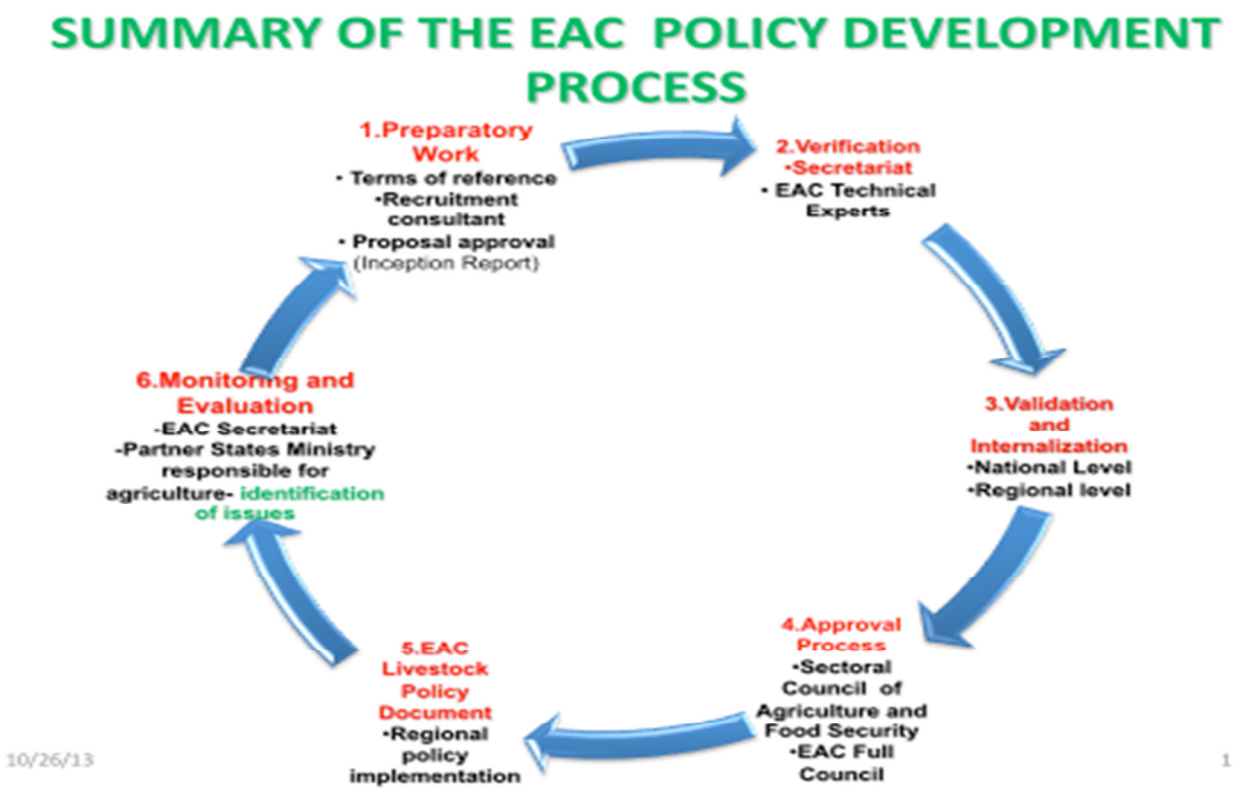




4. ASSESSMENT OF FOOD POLICY CHANGE IN EAST AFRICA COMMUNITY

The analytical framework used for this exercise is based on the six core policy areas outlined above. These elements also correspond to the six phases of the EAC Policy Development Cycle illustrated in Figure 2 (which uses the example of the on-going EAC Livestock Policy). The review team took into account these elements in order to better link and contextualize the assessment to EAC conditions and processes. A key trigger for the entire cycle is the directive from the Council of Ministers or Sectoral Council on Agriculture and Food Security, for the EAC Affairs and Planning (in this case, through the DAFS for the EAC Secretariat) to manage and move the processes forward throughout the policy cycle.

Figure 2:[5]



4.1 Policy Element 1: Predictability of the Guiding Policy Framework *Overall Rating = 7 (yellow)*

4.1.1 OVERVIEW

As defined by the EAC Treaty (1997), it has a generally well recognized clear and consistent policy and organizational frameworks at the overall EAC level and for its main organs (EAC Secretariat and East Africa Legislative Assembly/EALA) and sectors, including agriculture and food security. It is characterized by a slow decision-making process to secure consensus among Partner States and diverse stakeholders, and severely constrained by limited staff (2 staff vs. requirement of about 6 staff) and financial resources (a "significant gap") to carry out an ambitious mandate and agenda of policies, programs and projects.

The EALA and EAC Secretariat work in parallel. The Secretariat coordinates the formulation and approval of policies (adopted by the Sectoral Councils), whereas the EALA passes the necessary bills proposed by the Secretariat The harmonization of these efforts, together with the alignment of priorities

[5] Illustration of EAC Policy cycle prepared by Timothy Wesonga (2012).

of Partner States, is one of the major challenges to working efficiently and effectively and getting tangible results. There are clear dispute resolution processes, which also require considerable efforts to resolve by multiple parties.

Recently, there has been a third EAC Institutional Review of functions which is addressing some major structural issues in order to enable EAC to work more efficiently and effectively, with a strong results orientation. It is not clear how long it will take for the findings and recommendations, and next phase of the review/restructuring to take place. Therefore, in the interim, each department, including DAFS, will need to find interim strategies and actions for fulfilling its mandate and ambitious work plans. This would include DAFS aligning its plans with those of regional public as well as private stakeholders so that such programs work together in a coordinated manner to deliver objectives set out in DAFS strategies and programs.

4.1.2 CAPACITY FOR POLICY CHANGE INDICATORS

(a) Indicator 1.1: Clearly Defined and Consistent Policy Framework *(Rating = 6, or yellow)*

Major Achievements

(i) There is a system for formulation, approval, ratification, and implementation of key policies at the macro EAC/political and sectoral levels: For example, EAC Protocol; EAC Common Market Protocol (2010); EAC Agricultural and RD Policy (2006); EAC Agricultural and RD Strategy (2005-2030); EAC Food Security Action Plan (2011-2015); EAC SPS Protocol (approved in 2013);

(ii) EAC has established a functional organizational structure for each Partner State (ref. establishment and operationalization of a Ministry of E. Africa Affairs; establishment of the EA Legislative Assembly to help ensure responsiveness and accountability)

Major Challenges

(i) Slow and complex process of securing consensus and approval at various levels (EAC and Partner States, also involving many other stakeholders in the processes);

(ii) Limited resources to carry out efficiently and effectively the EAC policy cycle processes

Strategic Recommendations

(i) Given the structural nature of these challenges, it would appear that the recent consultancy report on the EAC review of institutional functions and other aspects could provide an input for higher level decisions to enhance: the decision-making processes at various levels; the adequacy of core staffing and funding of the agricultural department (as well as other departments). It is recognized that taking these actions are outside the direct control of the DAFS, but it would appear that other Departments would benefit from expediting this review and decision-making process;

(ii) In the interim, some of the recommendations below can make a positive contribution, albeit limited in scope, until the structural aspects are addressed and carried out.

(b) Indicator 1.2. Predictability and Transparency of the Policy Making Process *(Rating = 6, or yellow)*

Main Achievements

(i) EALA, Sectoral Council on agriculture, Coordination Committee, Sectoral Committee as well as agricultural sector stakeholders are involved in the policy processes;

(ii) Ratification by Partner States provides opportunity to scrutinize policies for enhanced transparency and also facilitates the implementation of the community policies.

Major Challenge

(i) Slow and complex process of securing consensus and approval at various levels (EAC and Partner States, also involving many other stakeholders in the processes).

Strategic Recommendations

Given the structural nature of these challenges, it would appear that the recent consultancy report on the EAC review of institutional functions and other aspects could provide an input for higher level decisions to enhance: the decision-making processes at various levels; the adequacy of core staffing and funding of the agricultural department (as well as other departments). It is recognized that taking these actions are outside the direct control of the DAFS, but it would appear that other Departments also would benefit from expediting this review and decision-making process.

(b) Indicator 1.3: There is a legislative capacity to deal with food security policy change, and the legislative requirements are clearly defined and predictable. ***Rating= 6 or yellow***

Major Achievements:

(i) Article 49 of the EAC Treaty establishes E. Africa Legislative Assembly (EALA) as the legislative organ of the Community. EALA has as its core functions of legislating, oversight and representation**.** Art.62 of the EAC Treaty stipulates that the enactment of legislation of the Community shall be effected by means of Bills passed by the Assembly and assented to by the Heads of State, and every Bill that has been duly passed and assented to shall be styled an Act of the Community. When a Bill has been duly passed by the Assembly the Speaker of the Assembly shall submit the Bill to the Heads of State for assent in order to become a community Act. These legal processes have been applied to some EAC food security Acts;

(ii) When the EAC Secretariat formulates a community agriculture draft policy, it is reviewed by the Sectoral Committee, Coordination Committee and then submitted to the Sectoral Council on Legal and Judicial Affairs of EAC for input, and which hands it to the Sectoral Council on Agriculture and Food Security for adoption. Partner states provide their inputs through the Sectoral Committee which is composed of technocrats from agriculture ministries; and

(iii) There is a functional EALA Committee on Agriculture, Natural Resources and Tourism, which meets on a regular basis to address priority legislative agenda. Their role and processes are well defined. They appear to work in close collaboration/coordination with the EAC Secretariat/Agriculture & Food Security Department.

Major Challenges

(i) There is turnover of members of EALA depending on changes and electoral processes in individual Partner States, which pose a challenge for ensuring continuity of EALA members and consistency in the review process;

(ii) The EALA Committee on Agriculture , Natural Resource management (NRM) and Tourism appears to lack adequate technical expertise to review the wide range of policies and legislation; and

(iii) Their oversight work seems not to be adequately budgeted for under EALA hence at times draw funds from the already constrained Budgets of the DAFS

Strategic Recommendations

(i) The Institutional Review Report highlights some proposals which could contribute to reduced turnover of EALA members and enhanced strengthening of technical capacity of the EALA Committee on Agriculture, NRM and Tourism; and

(ii) To the extent there is a delay in acting on these proposals, EALA needs to find a short-term interim strategy to address these two constraints (e.g., DP could provide some contractual staff for a limited period of time to support the technical work of the EALA.

(d) Indicator 1.4. Appropriate Dispute Resolution Process/Judicial Framework ***(Rating = 7, or yellow)***

Major Achievements

(i) EALA constitution includes a dispute resolution processes;

(ii) Each Partner State has established a Ministry of E. Africa Community Affairs, which has enabled enhanced coordination and dispute resolution (without having to rely on the legal/court system, which could be protracted); and

(iii) On the legal basis, there is a formal mechanism for dispute resolution, namely --- the E. Africa Court of Justice (EACJ), with sub-registries in each partner state where one can file her/her case, and which is one of the organs of the E. Africa Community, resolves regional disputes; and their decisions are binding.

Major Challenges

(i) There is relatively high rate of turnover of EALA staff, which poses a challenge for continuity, hence adding a challenge for smooth resolution of protracted disputes;

(ii) There is limited technical capacity in the EALA, which poses a constraint to conduct the necessary technical analysis to help resolve disputes.

Strategic Recommendations

(i) The EAC Institutional Review has addressed some of the structural staffing and continuity constraints of EALA, hence decisions and appropriate responses could address these constraints;

(ii) There is a need for an interim strategy/coping actions, in the event there is a delay in acting on the Institutional Review recommendations (e.g., DPs to provide some short-term technical assistance).

(e) Indicator 1.5: Clearly defined Institutional Responsibilities: ***(Rating = 7, or yellow)***

Major Achievements

(i) EAC Treaty clearly defines institutional roles and responsibilities, overall and by major sector/department, in accordance with its organizations structure and organs (Secretariat, EALA, Council of Ministers/Sectoral Council of Ministers), and at the Partner State level (e.g., each Partner State has established a Ministry of E. Africa Community Affairs which coordinates all relevant EAC matters within its Government);

(ii) Recently, on the request of the Council of Ministers, an independent organizational review was commissioned to review the functional, structural and decision-making analysis of the E. Africa Community"). The draft report (June 2013) is still being reviewed internally, hence not available for review.

Major Challenges

(i) There are several structural challenges in the discharge of responsibilities, notably: the lack of EAC Secretariat enforcement powers to ensure approved EAC policies are adhered by Partner States; limited funding of the EAC Secretariat to discharge the responsibilities, which

relies on Partner States and development partners, often delayed disbursements which disrupt work plans and; limited staff positions, such that most departments are one-person-departments

Strategic Recommendations

(i) EAC to implement the relevant recommendations of the institutional review referred to above (especially with regards to EAC enforcement powers, staffing levels, and funding);
(ii) In the interim, DAFS to find ways to move forward the regional agricultural priorities for food security policy change.

4.2 Policy Element 2: Policy Development and Coordination (Overall Rating: 7, or yellow)

4.2.1 OVERVIEW

The EAC Secretariat and relevant stakeholders from each Partner State devote a huge effort to policy development and coordination, and face several structural challenges to ensure efficient and effective processes and results. The EAC organs, together with Partner States, have been able to approve some major policies involving agriculture and food security which have been mentioned above.

There are several challenges to ensure an efficient and effective process and results, including: absence of clear results and M&E framework, with "SMART" indicators, absence of explicit prioritization criteria to screen/prioritize proposed strategies and activities, outdated sectoral strategy, given many dynamic changes since 2006; severe shortage of a critical mass of technical staff in DAFS to manage and coordinate efficiently the above tasks, and limited operational and investment funds to discharge the heavy and ambitious agenda; elaborate and protracted process of securing approval by all Partner States, when there are often differential agendas and perceived benefits and costs; and securing the aligned and timely support and endorsement of policies by the EALA.

There is considerable capacity of regional stakeholders (located in each country, to varying degrees) who can play a greater role, if the right mechanisms and processes were in place, via joint partnership agreements and MOUs. There is a strong tendency for the EAC to place greater attention to the policy approval process, rather than to support effective implementation (further details discussed below), resulting in an imbalance of efforts. Some of the structural constraints cited above could be resolved if the EAC would review and move forward on many of the recommendations from the recent EAC Institutional review report.

4.2.2 CAPACITY FOR POLICY CHANGE INDICATORS

(a) **Indicator 2.1: Approved Food Security Strategy and Investment Plan** ***(Rating = 7, or yellow)***

Main Achievements:

(i) Formulation and Approval of Regional Agricultural. and Food Security Policy Agricultural and Food Security Strategy and Food Security Action Plan

(ii) Preparation of the draft EAC Food Security and Nutrition Plan (draft of October, 2013), which is due to be presented to the Sectoral Council in late 2013;
(iii) Preparation of the draft EAC Livestock Policy (to be tabled in the 7th Sectoral Council);

(iv) Preparation of the draft final EAC CAADP Compact (October, 2013), expected to be approved by the Sectoral Council in 2013/early 2014;
(v) Initial discussions to launch preparation of the EAC Investment Plan (2014).

Main Challenges

(i) The formulation, consensus and approval of the above policies require an immense effort and extended time, including delays, involving numerous and diverse actors with varying priorities/agendas. Hence, there is a big challenge to balance interests in reaching mutual agreements;
(ii) There is limited capacity to formulate a sound and coherent regional investment plan;
(iii) There are limited resources (technical and financial) to finance and implement a regional investment plan, therefore emphasizing the need to ensure that the EAC adopts tools and processes to establish and manage clear priorities.

Strategic Recommendations

EAC Department of agriculture and FS (DAFS) should use the CAADP compact working group, with possible consultant support, to prepare a sound EAC results framework/Results Framework (which is also aligned with the continental-wide CAADP Results Framework). This EAC-specific RF could help sharpen the priorities, alignment and harmonization of:

(i) Food Security Action (see below for further points);
(ii) Proposed Food Security and Nutrition Policy and Strategy (in process);
(iii) Proposed EAC Livestock Policy
(iii) EAC CAADP Compact (in process);
(iv) EAC Investment Plan (forthcoming)

(b) <u>Indicator 2.2. Predictable Policy Agenda and Priorities Developed:</u> (Rating= 4, or red)

<u>Major Achievements</u>

(i) EAC has developed key policies which are conducive to a relatively high degree of predictability. These major policies include; Formulation and Approval of Regional; Agriculture and Rural Development Policy (2005); Agriculture and Rural Development Strategy (2006); Food Security Action Plan (2011); and
(ii) Formulation and approval of the Sanitary and Phytosanitary Protocol (2013), standards for key commodities (2013), Aflatoxin policy (draft, 2013), Regional Food Security and nutrition policy (draft 2013); Climate Change Policy (2010); EAC Livestock Policy (draft); E. Africa Industrial Development Policy and Strategy (2012).

<u>Major Challenges</u>

(i) Notwithstanding the above policies, there is a general challenge to reflect clear prioritization criteria and well-identified priorities, especially given the current limited technical and financial capacities in the EAC DAFS.

<u>Strategic Recommendations</u>

(i) The EAC working group (on the CAADP compact and Results Framework exercise) could also prepare a proposed prioritization criteria to be reviewed and endorsed by the Sectoral Council (similar to the EAC 4th Development Strategy which includes prioritization criteria for all sectors/themes) but very broad for agriculture;

(ii) As an illustration, possible criteria could include: (to be measured based on "SMART" indicators)

- Extent to which proposal supports the priorities (productive services and priority areas) of the 4th Regional Development Plan (2011-2016);(some specifics to be specified);
- Extent to which proposal supports priority activities of the Food Security Action Plan (some of the specific priorities to be specified);
- Extent to which the proposal promotes and facilitates intraregional trade, with equitable benefits to Partner States; and
- Extent to which the proposal generates sustainable broad-based benefits (incomes, employment, food security) to widespread stakeholders, including attractive financial and economic returns, quick and early benefits, and supports regional comparative advantage in production systems;
- Extent to which there is a sound M&E system outlined to track the above benefits in each of the Partner States.

See Annex 3 for a suggested framework of guidelines on how the prioritization criteria could be operationalized and applied (based on a rating system, to be applied by a working group).

(iii) In order to further enhance the predictability and strategic priorities of food security policy change, an EAC working group (to be comprised of the sectoral specialists of the Ministry of E. African Community Affairs and Ministries responsible for agriculture and food security), coordinated by the DAFS at the EAC Secretariat level, and possible consultant assistance, would prepare an updated multi-year strategic and operational plan for agriculture, food security, natural resources and rural development. This should build on the above-cited RF and prioritization criteria, which should include "SMART" output and outcome indicators (also to be prepared on a priority basis). This updated strategy would also help inform and prioritize the CAADP regional investment program (see below).This updated EAC Agricultural, Food Security and Rural Development Strategy could also provide an input to the preparation of the next EAC Development Strategy (to be initiated in late 2014).

(c) **Indicator 2.3. Work Plans:** ***(Rating = 6, or yellow)***

Major Achievements

(i) The department of Agricultural and Food Security has prepared inputs to the EAC Secretariat Annual Operational Plan (AOP);

(ii) the Agriculture and Food Security Department, like other departments, prepare and submit quarterly progress reports (ref. the AOP), which are included in the Secretariat's overall quarterly progress report;

Major Challenges

(i) The AOPs are not embedded in an updated multi-year strategic and operational plan, since the EAC ARD Strategic Plan was prepared in 2006, and the 4th Development Strategy provides broad strategic areas, which need to be further updated and elaborated to enhance their strategic content and expected results. Also, it is not clear that the AOP are the result of applying clear prioritization criteria (ref. above), given limited resources. Accordingly, the broad strategies constrain achieving a strategic operationalized approach to meeting measureable outcome targets, based on sharply defined priorities (which are multi-year in their nature);

(ii) The AOP has a strong output orientation, therefore neglecting stating "SMART" outcomes; and

(iii) There is further potential for harnessing partnerships and joint programs with regional stakeholders, which demonstrate good capacities;

Major Recommendation

The updated strategic and operational plan, and explicit prioritization criteria, would help guide the preparation of the AOPs in a more strategic and prioritized manner.

(d) Indicator 2.4: Coordination Process (Rating= 7, or yellow)

Major Achievements

(i) Formulation of all policies has required a high degree of coordination with multiple actors (state and non-state);
(ii) With experience, EAC Secretariat/Department of Agriculture and Food Security, and Partner States have developed improved coordination institutional arrangements (e.g., each Partner State has established a functional Ministry of E. Africa Community Affairs which enables coordination, including dispute resolution, within each country and with the EAC), processes and mechanisms to engage a wide diversity of actors;
(iii) There is extensive evidence that stakeholders (state and non-state) are willing to engage and participate in the policy formulation processes even when their costs are not covered by EAC; accordingly, this reflects a high level of convening power of EAC, and also the relevance of their policy agenda;

Major Challenges

(i) There is a significant lack of adequate resources (technical staff and financial) to engage efficiently and effectively a wide range of stakeholders, thereby constraining the potential benefits from their participation;
(ii) The agreements reached by the EAC and its Partner States are not enforceable by the EAC Secretariat, and are implemented on the "good will" of Partner States; and
(iii) The absence of a department-based multi-year strategy and operational plan challenges effective coordination, at various levels.

Strategic Recommendations

There are two relevant recommendations:

(i) EAC Secretariat to expedite the review and decision-making process of the recent EAC review of organizational functional analysis, such that the relevant authorities (especially the Council of Ministers) take a decision on the recommendations and next steps; and
(ii) DAFS should expedite the formulation of the DAFS updated strategy and supporting operational plan (see above).

(e) Indicator 2.5: Secretariat Administrative Support Function (Rating: 7 or yellow)

Major Achievement

(i) There are clear roles and functions of the EAC Secretariat with respect to the Administrative support functions (e.g., finance, procurement, statistics and M&E) to get the strategic results (e.g., convening the major EAC meetings, including the annual Summit; the biannual Council of Ministers and Sectoral Council, and specialized meetings, when required.

Major Challenges

(i) The elaborate organizational structure has a tendency to require bureaucratic processes and procedures (as perceived by a wide range of stakeholders), thereby contributing to delays in decision-making and implementation; and

(ii) There are stringent financial and procurement requirements, which could be further streamline, impede forming partnerships with well qualified regional actors.

Strategic Recommendations

The EAC Institutional review report apparently has made several recommendations which could enhance the efficiencies of the decision-making processes and procedural requirements, while ensuring adequate accountabilities. These decisions would enhance the efficiencies of the DAFS carrying out its work plan priorities, as well as effective partnerships with regional stakeholders.

(f) Indicator 2.6: Technical Capacity ***Rating = 5 or yellow***

Major Achievement

EAC Secretariat has established several mechanisms and processes to mobilize regional technical capacities (e.g., establishment of technical working groups, partnerships (using MOUs) with regional entities to assist in formulation and implementation of regional policies;

Major Challenges

(i) There are severe challenges of adequate technical staff in the department. (e.g., Department has only two professionals, plus one contractual program specialist); and

(ii) EAC Secretariat allocates insufficient resources to enable efficient and timely participation of key regional stakeholders, which contributes to delayed implementation;

Strategic Recommendations

(i) The EAC Institutional Review document apparently outlines a framework approach to addressing the structural staffing and funding constraints in the EAC Secretariat. Until such decisions are taken, it will be important for DAFS to seek interim actions, given the heavy workload and expected outputs and outcomes. DAFS has proposed secondment of technical staff (3), drawing on experts from Partner States.[6] This is an excellent proposal, and should be expedited, to ensure selection of the most suitable staff. In addition, there is a need to include a M&E specialist to support the work of DAFS, and the Partner States, to better track progress and results (using "SMART" indicators), and to work closely with the EAC M&E officer to ensure alignment of concepts and tools and overall EAC strategies; [7]and

(ii) This enhanced technical capacity will enable DAFS to further leverage existing regional capacities, and to absorb a large number of outputs being generated by a large work plan.

[6] It is noted that secondment of staff from Partner States has some budgetary intricacies to cover the extra duty allowance (to be paid by the EAC Secretariat), as well as implications on the overall incentives (financial and non-financial) to the officer being seconded.

[7] While another option is to further strengthen the overall EAC M&E capacity, in practice, other RECs are finding that assigning a M&E officer for agriculture is effective to cover a large agenda, including the CAADP regional compact and investment plan.

(g) Indicator 2.7: Political Support and Approval ***Rating = 7 or yellow***

Major Achievements

(i) All protocols, policies and acts require a high level of political support (by all Partner States), based on clearly defined processes and mechanisms before being approved (and then ratified); (for example, refer to the key agric. and FS action plan);

(ii) The food security action plan approval process illustrates how the presence of strong commitment by the Heads of States enabled the formulation and approval process of a major policy in only 4 months (while the technical work and inputs took longer); and

(iii) The Summit declaration on Food Security and Climate Change (2011).

Major Challenge

(i) The elaborate process for securing harmonization and approval by all Partner States (and endorsed by stakeholders) can result in a protracted process, given varying priorities and perceived benefits by Partner States, thereby delaying benefits for the willing parties (e.g., SPS Protocol, Livestock Policy).

Strategic Recommendations

In order to help ensure a smooth process of validation and approval of EAC policies, it would be useful to include an incidence analysis for each proposed policy, This would help ascertain more precisely the costs and benefits of policies to each Partner State (and varying stakeholders, some of which could block implementation, if not properly understood and identified, with appropriate mitigating measures/adjustments to each policy). Such incidence analysis could be carried out by regional partner think tanks.

(h) Indicator 2.8: Engagement of Parliament/Legislative Body: ***(Rating = 7 or yellow)***

Major Achievements

(i) Establishment of EALA (Article 49 of EAC Treaty); and

(ii) Establishment and operationalization of the Committee on Agriculture, Natural Resources and Tourism

Major Challenge

(i) Turnover of EALA members (due to election processes), limited technical staff to support effective committee work, hinder getting continuity and strong results

Strategic recommendations

(i) The EAC Institutional Review has addressed some of the structural staffing and continuity constraints of EALA, hence decisions and appropriate responses could address these constraints; and

(ii) There is a need for an interim strategy/coping actions, in the event there is a delay in acting on the Institutional Review recommendations (e.g., DPs to provide some short-term technical assistance).

4.3 Policy Element 3: Inclusivity and Stakeholder Consultation (Overall Rating = 7 or yellow)

4.3.1 OVERVIEW

Given the political nature of securing consensus by all Partner States, and its diverse stakeholders, of proposed policies involving food security is a complex and sensitive process. EAC mandated processes require extensive consultations/validation with all Partner States and diverse stakeholders

(private sector, Civil Society). Therefore, in the vast majority of the policy approvals, this process has been carried out satisfactorily, albeit with frequent delays, in order to meet the requirement of securing approval by all Partner States. Over the years, the EAC secretariat have developed efficient consultation processes, which has been exhibited by the DAFS in its coordinating role, together with its Partner State counterparts (e.g., Ministry of E. Africa Community Affairs). Nevertheless, there is scope for improving the spaces and mechanisms for more effective private sector and CSO engagement, which can also be carried over to the implementation phase. Again, the severe staffing and funding constraints of the DAFS highlights the importance of achieving a critical mass of DAFS technical staff and working out these mechanisms of expanded partnerships with regional stakeholders (e.g., Kilimo Trust, Economic and Social Foundation (ESRF), Eastern African Farmers Federation (EAFF), Eastern African Grain Council (EAGC).

4.3.2 CAPACITY FOR POLICY CHANGE INDICTORS

(a) **Indicator 3.1: Inclusive Participation within the Policy Coordination Management Entity**
Rating: 7 or yellow

Major Achievements
i) For each proposed EAC policy, the EAC policy cycle and actual practice give priority to ensuring extensive consultations with key stakeholders (state and non-state) in each Partner State and regional, including "validation" and "ratification" at different stages of the cycle (beginning and towards end);
(ii) Following each consultation, EAC and Partner State coordination team prepares and distributes the relevant documentation to stakeholders arising from the consultations, thereby contributing to enhanced transparency; and
iii) other aspects regarding the quality of consultation.

Major Challenges
(i) Due to resource constraints, this has limited the range of stakeholder participation, especially for those who have not been able to finance their travel expenses to the validation workshops (which will involve travel and related expenses for most persons); and
(ii) The consultations tend to be held in the capital cities of the Partner States, thereby limiting the extent of stakeholder participation, particularly those at the grassroots level. These are expected to provide their inputs through apex bodies, but often these apex CSOs have limited resources to consult all of their members. Hence, the challenge is how to find the best balance in getting representation.

Strategic Recommendations
There is a need for adequate funding in the DAFS annual budget to ensure adequate and diverse stakeholder participation in the consultation and validation processes. It is recognized that there are structural funding constraints facing EAC, and hence this matter will need broader level decisions (ref. to the EAC Institutional review report).

(b) **Indicator 3.2: Outreach and Communication** ***Rating = 6 or yellow***

Major Achievement
(i) Extensive use of newsletters and websites (at both regional and national levels) to disseminate information on plans, major events and decisions taken.

Major Challenges
(i) Absence of an outreach, communication and dissemination strategy and operational plan of the Food Security Action Plan;
(ii) There is inadequate country-level forums to disseminate EAC policy decisions (e.g., FSAP)
(iii) The outreach aspect, especially involving more personal contact with a wide range of stakeholders at Partner State level, requires greater attention (especially since not all stakeholders rely on websites for their information and engagement); and
(iv) Funding challenges contribute to the above shortcomings;

Strategic Recommendations
There is a need to prepare (or update) an operational dissemination and communication multi-prong strategy of the FSAP, with an emphasis on supporting its effective implementation, targeting strategic stakeholders. There is a need to find appropriate instruments for wide and popular dissemination, at regional and national levels (e.g., regional forums, piggybacking on major workshops, etc.) and not overlying on EAC website dissemination (since most stakeholders in rural areas will not have access to internet).

(c) **Indicator 3.3. Private Sector Participation – Opportunity/Space** ***Rating = 7 or yellow***

Major Achievements

(i) There are existing and functional mechanisms to promote private sector participation. Some examples include: participation in the formulation of the aflatoxin and SPS protocols. some CSOs have published and distributed popular versions of the EAC FSAP and Climate Change Policy e.g. the EAC Sustainable Environment Development Watch.

Major Challenge
(i)Limited funding constrains the range of private sector participation (especially by the smaller enterprises) usually based in rural settings.

Strategic Recommendation
There is a need for adequate funding in the DAFS annual budget to ensure adequate and diverse private sector stakeholder participation during the consultation and validation processes during the entire policy cycle (including implementation).

(d) **Indicator 3.4. Private Sector Participation – Capacity to Participate** Rating = 7

Major Achievements
(i) When invited, organized organs of the private sector (e.g., EAFF, EAGC, TAHA, and Kilimo Trust) demonstrate a capacity to participate and engage with constructive inputs; and
(ii)) Private sector has funded some important regional initiatives (e.g., Kilimo Trust partly funded the formulation of the FSAP, and played an instrumental role in securing approval by the Presidents of Partner States).

Major Challenges
(i) The absence of an updated strategic and operational plan (medium term) by the EAC DAFS constrains the ability of private sector organizations to plan their engagement in an effective manner (vis-à-vis short term AOP); and
(ii) Limited funding constrains the range of private sector participation (especially by the smaller enterprises).

Strategic Recommendations
See above recommendations:
(i) Need for an updated strategy and operational plan; and
(ii)Need to provide funding to help ensure broad stakeholder participation in the entire policy cycle.

(e) **Indicator 3.5: Participation of CSOs – Opportunity/Space** **R*ating = 6 or yellow***

Major Achievements
(i) There are existing and functional mechanisms to promote CSO participation.
Some examples include the Eastern Africa Farmers Federation which has observer status in the EAC Sectoral Council on Agriculture and Food Security and the Council of Ministers.

Major Challenges
(i) There are limited spaces for engagement in the implementation phase of the policy cycle, since most of the emphasis of EAC Secretariat is given up to the approval stage;
(ii) Limited funding constrains the range of CSO participation (especially by the smaller CSOs); and
(iii) There has been underutilization of the potential and supporting mechanisms for realizing effective partnerships with existing regional NGOs (e.g., Kilimo Trust, EAFF, EAGC) which could provide needed evidenced-based and implementation support in the policy and project cycle.

Strategic Recommendations
(i)There is a need for adequate funding in the DAFS annual budget to ensure adequate and diverse CSO stakeholder participation in the consultation and validation processes during the entire policy cycle (including implementation);
(ii)In order to benefit from existing regional capacities of numerous think tanks (e.g., Kilimo Trust, ESRF, EAFF, EAGC, ASARECA, ILRI, AU-IBAR), there is a need for DAFS to draw up and/or update MOUs and joint partnership agreements with strategic regional think tanks which have demonstrated capacity for supporting the food security policy cycle. This will expand the capacity of DAFS to manage effectively its large agenda, while ensuring continuity of partners (rather than relying on consultants who "come and go"); and
(iii) CSOs need to be organized according to thematic groups e.g. agriculture and have apex bodies to have the views of the grass root CSOs captured and articulated in regional meetings.

(f) **Indicator 3.6: Participation of CSOs – Capacity to Participate:** ***Rating= 5 or yellow***

Major Achievement
(i) Larger CSOs demonstrate a willingness and capacity to participate in the review of EAC policy cycle.
Major Challenge
(i) Many CSOs lack technical and budgetary capacity to engage in effective manner on the food security policy agenda (entire cycle); and
(ii) Limited funding constrains the range of CSO participation and geographic coverage (especially by the smaller CSOs).

Strategic Recommendations
(i) DAFS needs to provide funding to help ensure broad CSO stakeholder participation in the entire policy cycle (while also encouraging apex CSOs to help contribute funding); and
(ii) DAFS to explore effective options for building capacities and knowledge of strategic regional CSOs (demonstrating solid performance record) to support the implementation of the regional policy agenda (entire cycle).

4.4 Policy Element 4: Evidenced-Based Analysis *Overall Rating = 5 or yellow*

4.4.1 OVERVIEW

Over the years, there has been increasing use of evidenced-based analysis to inform proposed policies and initiatives in food security (e.g., the Food Security Action Plan was underpinned by a major study carried out by two regional think tanks – Kilimo Trust and ESRF). However, there is widespread recognition that there is a need to further strengthen the role and mechanisms for ensuring strong evidenced-based analysis to support the formulation of regional policies, programs/projects, as well as other portions of the policy cycle (especially implementation and accountability). There is an absence of a functional M&E system to track and evaluate the on-going initiatives, therefore, making it difficult to determine precisely their implementation status and progress toward meeting key and measureable strategic objectives, based on well defined "SMART" indicators. As stated above, there is considerable existing potential by regional think tanks which can play an important role, especially to reduce excessive dependence on short-term consultants, who do not draw on relevant past lessons and are not able to ensure institutional memory. Accordingly, there is need for DAFS to promote the use of partnership agreements and MOUs with qualified regional think tanks (e.g., establishing a SAKSS node in EAC; joint implementation arrangements). To manage these processes and absorb relevant empirical findings and their strategic implications, it will be important to strengthen the existing technical capacities of DAFS. To the extent there will be delays in securing additional technical posts (e.g., secondment, EAC positions), it will be important for DPs to provide relevant technical assistance, in key identified areas (e.g., agronomy, fisheries (capture and culture), livestock/animal health, and M&E), as an interim arrangement.

4.4.2 CAPACITY FOR POLICY CHANGE INDICTORS

(a) Indicator 4.1: Economic and Financial Analysis Completed as a Component of Planning: ***Rating=4 or yellow***

Major Achievement
i) Some of the major regional projects include a financial and economic analysis.

Major Challenges
(i) The consistent application of rigorous Economic and financial analysis by the EAC Agricultural and Food Security Department is limited, due to various challenges (funding, technical capacity, data);
(ii) Proposals lack an incidence analysis of the benefits and costs accruing to different Partner States and key stakeholder groups, thereby limiting their capacity to foresee implementation challenges and possible resistance from certain stakeholder groups.

Strategic Recommendations
(i) Each proposed regional program/project and major policy should include an explicit financial and economic analysis, customized to the relevant proposal; and
(ii) In order to help ensure smooth process of validation and approval of EAC policies, it would be useful to include in the regional policy and program/project proposal an incidence analysis for each proposed policy, This would help ascertain more precisely the costs and benefits of policies to each Partner State (and varying stakeholders, some of which could block implementation, if not properly

understood and identified, with appropriate mitigating measures/adjustments to each policy). Such incidence analysis could be carried out by regional partner think tanks.

(b) Indicator 4.2: Performance Monitoring Measures and Targets Developed: Rating = 4 or yellow

Major Achievements

(i) EAC , with assistance from ReSAKSS, has prepared a zero draft M&E framework for the Food Security Action Plan (Aug., 2012); and

(ii) Dept. of Agriculture and FS prepares an annual operational plan (AOP) as input to the EAC AOP, and for submission to the Sectoral Council, including measures and targets of key activities;

Major Challenges

(i) The AOP prepared by the Department of Agriculture. and Food Security focuses more on outputs, and the reference to "expected outcomes" is not "SMART"; and it is not clear how the proposed activities will contribute to the expected outcomes; and

(ii) DAFS lacks a comprehensive, multiyear and operational M&E system, therefore making it difficult to ensure continuity and tracking of key actions which will achieve expected outcomes. On the request of the DAFS, ReSAKSS provided extensive comments on a draft M&E framework for the FSAP (2012). However, thus far there has not been further progress on completing this vital M&E framework. ReSAKSS provided detailed comments to the DAFS on a draft M&E plan for the FSAP, but to date, DAFS has not provided feedback in order to enable the ReSAKSS team to help finalize the plan for approval (may require EAC validation review process) and use by the DAFS team; there are now plans for such a meeting to support the finalization of this M&E framework for the FSAP; and

(iii) The DAFS lacks a M&E specialist on their team, which constrains their capacity to formulate sound performance indicators and targets ("SMART").

Strategic Recommendations

(i) DAFS should prepare a regional results framework, with "SMART" indicators. These would be incorporated in various other documents, such as the updated strategic plan, the updated FSAP, AOPs;

(ii) Given the large agenda of DAFS, there is an urgent need to recruit a M&E specialist on the team. Since this staffing matter will be subject to the outcome of the EAC Institutional review, in the interim DAFS should seek to include this role as part of the secondment proposal (see above), or to seek DP assistance for M&E expert, until the position can be secured (the latter option is probably more feasible in the short-term);

(iii) DAFS team to review the zero draft M&E framework for the FSAP, so that it can be finalized and operationalized as soon as possible, including SMART indicators, with the aim of using it to track an important agenda.

(c) Indicator 4.3: Quality Data Exists for Policy Monitoring: framework *Rating = 4 or yellow*

Major Achievement

Partial data exists for partial Policy Monitoring (especially by some of the partners)

Major Challenges

(i) There is absence of a comprehensive and functional M&E system for the EAC Agric. and FS agenda, which constrains the identification of relevant indicators and hence the required data for assessing outcomes;

(ii) The quality and reliability of data of the relevant indicators is highly variable, and there is a need to address these issues more frontally;

(iii) There are limited funds to address the underlying data issues, notwithstanding the FAO-supported project.

Strategic Recommendations
(i) DAFS to secure M&E expert, with a strong policy analysis orientation (see above);
(ii) DAFS to prepare a sound M&E system, starting with the zero draft M&E framework for FSAP;
(iii) DAFS to develop an agreed proposal for enhancing agricultural data, based on the outputs of the on-going agricultural statistics project (supported by FAO), in close collaboration with the EAC Statistics Division. There will be a need to mobilize additional funding from DPs (or other sources) to support this data improvement program.

(d) Indicator 4.4. Quality Data is Available for Policy Making **Rating = 5 or yellow**

Major Achievements
(i) There is general data available for policy formulation on selected agricultural indicators (e.g., from the countrystat and regionalstat databases);
(ii) There is a FAO-supported project on agricultural statistics, which has established a regional working group, offers the possibility of addressing the underlying data challenges for providing a better empirical foundation for policy making;
(iii) There is also a World Bank/FAO project called Livestock Data Innovations for improving livestock data collection and addressing challenges for providing better data for policy making.

Major Challenges
(i) There is absence of a comprehensive and functional M&E system for the EAC Agric. and FS agenda, which constrains the identification of relevant indicators and hence the required data for assessing outcomes, as inputs for policy formulation (e.g., cross-border trade data on food crops is very limited, especially informal trade);
(ii) The quality and reliability of data of the relevant indicators is highly variable, and there is a need to address these issues more frontally; and
(iii) There are limited funds and technical statistical capacity to address the underlying data issues, notwithstanding the FAO-supported project (e.g., there is a focus on compilation of existing data; EAC Secretariat has only one Statistics Officer to cover all sectors).

Strategic Recommendation
Similar recommendations as above (ref. indicator 4.3)

(e) Indicator 4.5: Inclusion of Analysis in the Policy Development Process: Rating = 6 or yellow

Major Achievements
(i) There is a growing "demand" by policy makers (e.g., Sectoral Council, key stakeholders) and staff from EAC Secretariat to give greater emphasis on using evidenced-based analysis to underpin the formulation of agricultural and food security policies (e.g., background analytical study used as input for formulating the FS Action Plan; and
(ii) The establishment of the Livestock Policy Hub (in EAC Secretariat and Partner States) reflects a positive initiative to strengthen the evidenced-based orientation in the formulation of the EAC Livestock Policy (in process).

Major Challenges
(i) There is a lack of technical capacity in the Dept. of Agriculture and FS to cover all major subsectors and to harness the regional existing capacities for carrying out evidenced-based analysis (e.g., drawing on analytical support from regional think-tanks which exist in each country, such as Economic and Social Research Foundation (in Tanzania); Kilimo Trust (in Uganda); EAGC (in Kenya);

(ii) There is lack of funding to support required evidenced-based analysis, especially for the implementation and M&E phases of the policy cycle; and
(iii) When there is available funding, there are bureaucratic challenges to draw on the funds in an efficient and timely manner.

Strategic Recommendations
(i) In order to benefit from existing regional capacities of numerous think tanks and advocacy organizations (e.g., Kilimo Trust, ESRF, EAFF, EAGC, ASARECA), there is a need for DAFS to draw up and/or update MOUs and joint partnership agreements with strategic regional think tanks which have demonstrated capacity for supporting the food security policy cycle. This will expand the capacity of DAFS to manage effectively its large agenda, while ensuring continuity of partners (rather than relying on consultants who "come and go"); and
(ii) Once such MOUs and joint partnership agreements are drawn up, there is a need to ensure streamlined and efficient processes and procedures to provide timely funding in order to ensure timely implementation of the agreements. Some of the agreements can include support for mobilizing funding from diverse sources to support the regional agenda (e.g., Kilimo Trust has demonstrated experience and success).

(f)Indicator 4.6: Capacity to Monitor Policy Implementation and Results ***Rating = 4 or yellow***

Major Achievements
(i) EAC Secretariat has established a M&E Office (to cover the whole agenda of the EAC Secretariat);

Major Challenges
(i) The DAFS lacks a comprehensive M&E framework for monitoring existing regional policies;
(ii) There has not been follow up to completing and operationalizing the draft M&E prepared by ReSAKSS;
(iii) The DAFS lacks basic capacity to carry out systematic monitoring of a growing number of approved policies (and more in the pipeline), due to an absence of a M&E specialist on the team; this limits their capacity to harness on-going initiatives which can further enhance the evidenced-based dimensions to the policy cycle (e.g., Livestock Policy Hub; FAO-supported Project on agricultural statistics; ReSAKSS empirical studies on trade openness and agricultural productivity; Kilimo Trust market development program and other strategic studies)

Strategic Recommendations
(i) Develop a regional results framework as indicated above with relevant staffing
(ii) DAFS to find ways to mobilize/fund a M&E officer as part of their core team (secondment, DP funding on a contractual basis);
(iii) DAFS team to operationalize the draft M&E framework for the FSAP, so that it can be finalized, approved (via the EAC review process, as required), and operationalized as soon as possible;

(g) **Indicator 4.7: Annual Performance Measurement Report Produced and Reviewed** ***Rating=6 or yellow***

Major Achievement
i) Dept. of Agriculture and FS prepares quarterly and annual progress reports on its activities, based on its AOP, for submission to the EAC Secretariat (ref. Cumulative Progress Report) and for the Sectoral Council bi-annual meetings;

Major Challenges

(i) Quality of performance and progress report is limited in its analytical scope and content, with a strong output focus; and

(ii) Absence of a functional M&E system, with a multi-year outcome focus, and limited funding and capacity challenges (no M&E officer on the team) limits the quality of the performance measurement system and related reports

Strategic Recommendations

Per above:

(i) DAFS to prepare a RF, with "SMART" indicators, at various levels, which could support the AOP;

(ii) DAFS to explore best option to secure a qualified M&E expert on the DAFS team; and

(iii) DAFS to prepare a M&E framework for its large agenda, including the M&E framework for FSAP.

(h) **Indicator 4.8: Independent Analysis Capacity Exists and is being Utilized Effectively** ***Rating=4 or red***

Major Achievement

(i) EAC Department of Agriculture has access to a network of regional think tanks, which provide some limited inputs (e.g., Background Study for the FSAP, prepared/funded by Kilimo Trust, and presented to the Presidents of the Partner States, which facilitated speedy approval of the FSAP; Evaluation Report of the Regional Avian Influenza Project, funded by the EU and several empirical studies prepared by ReSAKSS).

Major Challenges

(i) Limited technical staff in the department, and hence limited technical capacity and availability of time, constrains the absorptive capacity of the department to fully harness the existing potential of regional independent think tanks; this limited capacity also constrains their ability to use fully existing studies (as above); and

(ii) Limited funding constrains the scope of contracting out to existing regional think tanks required empirical studies which could enhance the evidenced-based aspects of the policy cycle.

Strategic Recommendations

Two complementary actions are needed:

(i) In order to benefit from existing regional capacities of numerous think tanks (e.g., Kilimo Trust, ESRF, EAFF, EAGC, ASARECA), there is a need for DAFS to draw up and/or update MOUs and joint partnership agreements with strategic regional think tanks which have demonstrated capacity for supporting the food security policy cycle. This will expand the capacity of DAFS to manage effectively its large agenda, while ensuring continuity of partners (rather than relying on consultants who "come and go");

(ii) To explore the establishment of a SAKSS in the EAC DAFS, which is in line with the CAADP strategy of embedding SAKSS at the national and REC levels. The composition of the SAKSS could draw on existing analysts from regional think tanks, which would help ensure drawing on existing knowledge and expertise, and also reinforce the joint partnerships with regional think tanks (e.g., secondment arrangements from the participating think tanks). This will help develop institutional memory and ensure continuity of initiatives.

4.5 Policy Element 5: Policy Implementation *Overall Rating = 4 or red*

4.5.1 OVERVIEW

There is general consensus that implementation of the regional agenda is the weakest link of the results chain in the food security policy cycle (which is also reflected in other sectors). There seems to be a culture in the EAC Secretariat which gives greater attention to securing formal approvals of regional policies and programs, and, in practice, insufficient attention to ensuring efficient and effective implementation, with evidenced-based results.[8] For example, the food security action plan lacked a prioritized operational plan, and hence, the large number of actions (exceeding 100) is subject to ad-hoc implementation, varying according to the perceived priorities of each Partner State. The absence of a functional M&E system has made it difficult for DAFS to track and report to the Sectoral Council its implementation status, critical bottlenecks, and recommended actions. The limited evidenced-based analysis on implementation aspects also has not been able to feed into the implementation process. More broadly, the structural constraint of insufficient technical staff in DAFS has made it difficult to provide needed robust coordination in the planning, design and implementation assistance to the Partner States, including sharing of good practices among Partner States to enhance effective coordination and speed up implementation. This strengthening would be in line with the International Symposium which recommended that "*the EAC should build into all agreed protocols and regional programs, well funded and implemented process of mobilizing, raising awareness and improving implementation capabilities for the necessary and sufficient actors*". The insufficient budgetary allocations at the regional and national levels also constrain implementation, notwithstanding the 10% target of budget allocations to the agriculture sector (which is being complied in a varied manner). Again, there is scope for DAFS to draw on existing regional capacities to enhance effective coordination, implementation and effective and timely M&E.

4.5.2 CAPACITY FOR POLICY CHANGE INDICATORS

(a) Indicator 5.1: Implementation Plans Developed *Rating = 4 or red*

Major Achievements

(i) Some regional policies and programs/projects have been supported by implementation plans (e.g., Avian Influenza Project, funded by the EU).

Major Challenges

(i) Lack of adequate technical staff in the Department has limited their capacity to prepare sound implementation and financing plans (e.g., FSAP has not included an implementation plan, and only recently have efforts been taken to prepare such a plan over the next few months); and

(ii) Inadequate technical staff limits their capacity to harness and coordinate existing regional entities which could help formulate sound implementation plans (and to mobilize funding to close financing gaps) as well as to coordinate regional collaboration.

Strategic Recommendations

To help ensure ownership, relevance, and effective implementation, and drawing on existing capacities, there is a need to:

[8] It is recognized that there are regional stakeholders which have a strong results-oriented implementation culture, in delivering on their targets. The challenge is how to build on this strength in support of the EAC agenda for food security policy change (especially in relation to the FSAP).

(i) There is an urgent need to strengthen the technical and coordination capacity of DAFS (per the options outlined above); this will strengthen the absorptive capacity of DAFS to utilize and manage various outputs, to mobilize key stakeholders and to effectively drive the food security agenda;
(ii) Carry out a mid-term review of the FSAP (in early 2014), to determine more precisely progress, updated priorities and implementation and resource gaps, and a prioritized operational plan (which currently does not exist); this activity may require some funding (which could be mobilized from one of the DPs);
(iii) To ensure ownership, it is preferable that DAFS facilitates the formation of a regional working group, comprised of senior officers from each Partner State. The recent consultant funded by AUSAID could support this work; this model follows the successful group which prepared the FSAP (in record time); and
(iv) There is scope for drawing on existing capacities of regional think tanks through joint implementation agreements (ref. above).

(b) Indicator 5.2: System in Place to Analyze Implementation Capacity Challenges ***Rating = 5 or yellow***

Major Achievements
(i) At the broader level, EAC Secretariat commissioned an Institutional Review Study of the EAC Secretariat, which has generated its findings, and which are under internal review;
(ii) DAFS prepares quarterly progress reports on its work plan, from which it is possible to infer implementation challenges;
(iii) DAFS has a system in place to engage external consultants to assist in the policy cycle.

Major Challenges
(i) The absence of a functional M&E system in the DAFS limits their capacity to assess in-depth priority implementation capacity challenges (while many of them are generally recognized, such as limited technical staff and funding); and
(ii) There are limits in overlying on external consultants, to ensure continuity and institutional memory which are key elements for enhanced implementation of new programs/initiatives

Strategic Recommendations
(i) Establish and operationalize a functional M&E system for the regional food security agenda (with parallel efforts to strengthen the M&E system at the Partner State level);
(ii) To draw up updated MOUs and joint partnership agreements with relevant regional think tanks (see above); and
(iii) To utilize external consultants more discretely, and in a manner which will emphasize local ownership and capacity development.

(c) Indicator 5.3: Food Security Policy Priorities Aligned with Work Plans of Line Ministries: (should be a balanced two-way flow) **Rating = 4 or red**

Major Achievements
(i) At a general level, there are efforts for line ministries at the country level to align their work plans to the EAC approved policies;
(ii) On-going efforts to complete the EAC CAADP Compact and the forthcoming EAC Investment Plan are endeavoring to reflect enhanced priorities, which could be used to prioritize ministry and other stakeholder work plans (as work in progress);

Major Challenges

(i) There is an absence of a sound results framework for EAC policies, which limits their capacity to prioritize interventions according to well-defined and measureable outcomes; and

(ii) Inadequate technical capacity of the DAFS (e.g., absence of M&E officer) limits their capacity to formulate and manage a sound results framework, and a prioritized medium term strategy and operational plan, which could enable more effective prioritization of the FS agenda by EAC and Partner States.

Strategic Recommendations

As per above recommendations above. Specifically:

(i)DAFS/working group to prepare:

(ii) A regional results framework for the regional agriculture and food security sector; it is important that the "regional Results Framework" focuses on a few, very strategic priorities that cut across most, if not, all partner states;

(iii) Formulate and agree on a prioritization criteria to help guide priorities in the various initiatives (including the CAADP regional investment plan);

(iv) Updated regional Agriculture, Natural Resources and Rural Development (ANRRD) strategy and operational plan; and

(v) Prepare a regional M&E framework, which should be also done at the country level.

(d) Indicator 5.4: Policy Implementation Budget Committed by Host Country Rating = 5 or yellow

Major Achievements

i) Some of the Partner States (e.g., Rwanda, and to a lesser extent, Tanzania and Uganda) are allocating to agricultural sector up to 10% of total public expenditures;

Major Challenges

(i) Approved policies generally lack a clear implementation and costed plan (e.g., FSAP, others)

(ii) There is variable quality in the composition of budgetary allocations for the agriculture sector, and there is a need to ensure adequate funds are being provided to support implementation of agreed FS policies by Partner States; and

(iii) There is an absence of systematic tracking of the budgetary allocations (aggregate and especially disaggregated levels), and a clear definition of the "agriculture" sector (given expenditures such as rural roads, etc.) to ensure a common harmonized methodology for the budgetary target and allocations.

Strategic Recommendations

(i) All regional policies should include an explicit budget to support effective and timely dissemination of information on progress in implementation as well as the outcomes and impacts of such policies;

(ii) DAFS/working group to ensure annual budgetary proposal by Partner States include adequate to support implementation of priority FS actions (especially those with strong regional implications); and

(iii) DAFS, together with Partner States, to strengthen the tracking of budgetary allocations; this task should form part of the strengthened M&E system (at regional and country levels). Coordination should be made with the agricultural statistics project (countrystat and regionstat).

(e) **Indicator 5.5: Supplemental Implementation Funds Secured** ***Rating = 4 or red***

Major Achievement

(i) There have been instances of receiving supplementary funding for priority AFS initiatives.

Major Challenge
(i) Limited funding sources, which are accentuated by Development Partner concerns about the implementation capacities of the EAC.

Strategic Recommendation
DAFS to work out a financing strategy for its on-going and proposed investment portfolio, and thereby determine the extent to which supplemental funds are required.

(f) Indicator 5.6: Monitoring and Evaluation **Rating = 4 or yellow**

Major Achievements
(i) EAC Secretariat has established a M&E Office (to cover the whole agenda of the EAC Secretariat);
(ii) EAC and ReSAKSS draft M&E framework for the monitoring of the Food Security Action Plan (August 2012);
(iii) There is increasing demand for results-focused M&E system:
a) EAC Secretariat has introduced performance contracts for each department and individual, which will incentivize the establishment of an operational M&E system, and enhanced results-focused performance;
b) Sectoral council is increasingly giving priority to progress reports on policy implementation;

Major Challenges
(i) Absence of a regional results framework, operationalized M&E plan (with "SMART" indicators), and specialized M&E staff (as already discussed above);
(ii) There is also a lack of a functional M&E system at the Partner State level (in the Ministry of Agriculture, focusing on the EAC agenda, and in the Ministry of E. Africa Community Affairs).

Strategic recommendations
(i) Development and management of M&E system and technical staff in the DAFS (as already discussed above).

4.6 Policy Element 6: Mutual Accountability Overall Rating = 5 or yellow

4.6.1 OVERVIEW

At the broader EAC level, there is a forum with development partners on a regular basis, convened by the EAC's resource mobilization office. However, at this time, there is an absence of a forum with DPs for the agriculture sector, which could play a potential role in coordinating, aligning, harmonizing and expanding DP assistance strategy and programs for the regional agricultural agenda. The on-going preparation of the CAADP compact and subsequent preparation of the CAADP EAC investment plan provides a timely opportunity for DAFS to take a proactive role in forging a forum of dialogue with DPs for the sector, within the framework of the overall EAC forum.

Accordingly, the updating of the sector strategy, preparation of a sound results framework, establishment of sound explicit prioritization criteria can facilitate the content and processes of mobilizing expand and aligned DP assistance. To the extent there is progress on many of the above recommendations, including the use of existing regional capacities; DPs are more likely to respond positively. These actions also would be consistent with CAADP's emphasis of operationalizing the mutual accountability framework, which EAC endorses.

4.6.2 CAPACITY FOR POLICY CHANGE INDICATORS

(a) Indicator 6.1: A Forum Exists for Regular Scheduled Donor-EAC Meetings: ***Rating = 6 or yellow***

(i) EAC (Resource Mobilization Office) has in place a mechanism to meet the development partners on a regular basis;
(ii) Formulation of the CAADP EAC Compact and forthcoming investment plan is providing a potentially useful mechanism to engage DPs, and ensure alignment of their assistance with EAC priorities.

Major Challenge
(i) DAFS meets DPs on an ad-hoc basis, and therefore does not hold regular meetings with DPs to keep them informed and to help align their priority assistance in a systematic manner.

Strategic Recommendation
(i) DAFS to convene periodic (say, twice a year) meetings with DPs to keep them informed of strategic agenda, implementation progress, and forthcoming priorities which could help the DPs align their assistance, as well as to help mobilize funding for new priority initiatives.

(b) Indicator 6.2: Joint Policies Developed ***Rating = 5 or yellow***

Major Achievements
(i) EAC has several mechanisms to establish priorities, especially through the bi-annual meetings of the Sectoral Council, the AOP for the EAC Secretariat, and the progress reports submitted to the Sectoral Council for its biannual meetings;

Major Challenges
(i) The Dept. of Agriculture and FS of EAC lacks a sound results framework for its FSAP, and a prioritized medium term operational plan (with "SMART" indicators at output and outcome levels), which could facilitate the development of joint priorities and agreements for joint formulation of policies and joint implementation (with DPs, strategic regional stakeholders (such as Kilimo Trust, EAFF, EAGC, ESRF); enable more effective prioritization by EAC and Partner States.

Strategic Recommendations
As per above recommendations

The M&E reports would be very useful inputs in mutual accountability processes where all stakeholders including partner states, secretariat, development partners, and private sector and non-state actors all take part. The EAC M&E framework should be clear about the roles and responsibilities of the different actors in the agricultural sector. The EAC M&E system should build on national M&E systems as most implementation of policies and programs takes place at national level. This implies the need for strengthening the M&E systems at both the EAC and Partner State levels (and to ensure alignment of relevant indicators).

(c) **Indicator 6.3: Monitoring System Exists** ***Rating = 4 or yellow***

Major Achievements

(i) EAC Secretariat has established a M&E Office and a Statistics Department, which are helping to provide a consolidated view of progress, performance and impacts of EAC initiatives vis-à-vis work plans and expectations from the Council of Ministers and Sectoral Councils (and covers the whole agenda of the EAC Secretariat);

(ii) A zero draft EAC M&E framework for the monitoring of the Food Security Action Plan has been prepared and then reviewed by ReSAKSS (August 2012);

(iii) There is increasing demand for results-focused M&E system:

(iv) EAC Secretariat has introduced performance contracts for each dept. and staff members, which will incentivize the establishment of an operational M&E system, and enhanced results-focused performance (but only in very early stages of using this instrument);

(v) Sectoral council is increasingly giving priority to expected quality progress reports on policy and other initiative implementation

Major Challenge

(i) Main challenges as already discussed above (e.g., absence of a regional RF, M&E system, technical M&E staff).

Strategic Recommendations

(i) same recommendations on setting up of a functional M&E system.

(ii) establishing an EAC SAKSS would be helpful in harnessing regional and local capacity to support analysis, knowledge management, M&E and also enhancing analytical capacity at EAC (further details need to be worked out under the overall guidance of the DAFS in reaching agreement/MOU with ReSAKSS); [9] and

(iii) DAFS team to review the zero draft M&E framework for the FSAP, so that it can be finalized and operationalized as soon as possible (with further support from entities such as ReSAKSS-EA);

(d) Indicator 6.4: Donor Coordination – Alignment and Harmonization Rating = 6 or yellow

Major Achievements

(i) EAC (Resource Mobilization Office) has in place a mechanism to meet the development partners on a regular basis, which enables enhanced DP coordination and alignment and harmonization; and

(ii) Formulation of the CAADP EAC Compact and forthcoming investment plan is providing a potentially useful mechanism to engage DPs, to strengthen DP coordination and to ensure alignment and harmonization of their assistance with EAC priorities.

Major Challenge

(i) DAFS meets DPs on an ad-hoc basis, and therefore does not hold regular meetings with DPs to keep them informed on a regular basis and to help align their priority assistance in a systematic manner.

Strategic Recommendations

As per the above recommendations and also, DAFS to convene periodic (say, twice a year) meetings with DPs to keep them informed of strategic agenda, implementation progress, and forthcoming priorities which could help the DPs align their assistance, as well as to help mobilize funding for new priority regional initiatives.

[9] SAKSS nodes normally include 3 components, which can be adapted to the EAC requirements: a lean node secretariat, network, and an inclusive advisory body.

(e) Indicator 6.5: Private Sector Accountability **Rating = 6 or yellow**

Major Achievements

(i) There are strong regional private sector organizations which are strengthening their own monitoring and accountability systems, especially to be responsive to their members (e.g., EAFF, EAGC, EABC, and others);

(ii) EAC Secretariat includes some of these private sector entities as observers in the Sectoral Council, which provides some measure of accountability.

Major Challenges

(i) The accountability mechanisms still have to be developed, formalized and made more functional, especially with regards to the EAC organs, building on the above achievements and growing recognition for enhanced accountability;

(ii) There is an absence of a well developed M&E system in many of these private sector organs, especially where the information is made more publically available.

Strategic Recommendations

(i) Key Regional private sector organizations (as listed above) to strengthen their M&E systems, with indicators which are aligned with the EAC food security agenda and with its forthcoming M&E system, and to make publically available for enhanced transparency and accountability (aside from its board of directors);

(ii) EAC Secretariat and strategic private sector entities enter into partnership agreements/MOUs, which should include appropriate accountability mechanisms and processes.

(f) Indicator 6.6: CSO Sector Accountability **Rating = 6 or yellow**

Major Achievements

(i) There are strong regional CSOs which are strengthening their own monitoring and accountability systems, especially to be responsive to their members (e.g., Kilimo Trust; ESRF; others);

Major Challenges

(i) The accountability mechanisms still have to be developed, formalized and made more functional, especially with regards to the EAC organs, building on the above achievements and growing recognition for enhanced accountability;

(ii) There is an absence of a well developed M&E system in many of these CSOs, especially where the information is made more publically available.

Strategic Recommendations

(i) Key Regional CSOs (as listed above) to strengthen their M&E systems, with indicators which are aligned with the EAC food security agenda and with its forthcoming M&E system, and to make publically available for enhanced transparency and accountability (aside from its board of directors);

(ii) EAC Secretariat and strategic CSOs enter into partnership agreements/MOUs, which should include appropriate accountability mechanisms and processes.

5. CASE STUDIES AND EMERGING LESSONS

5.1 Framework:

Criteria for Selection:

- Reflects strong EAC regional orientation;
- Under implementation for at least two years;
- Illustrates both common achievements and challenges;
- Exhibits available information.

5.2 Case Study No 1: EAC Food Security Action Plan (EACFSAP)

5.2.1 CONTEXT AND BACKGROUND

The EACFSAP (2011-2015) was developed by the partner states to address the food insecurity in the region. It comprises a vital step to implementing the provisions of the EAC Treaty (of 1999, Article 105), the Agriculture and Rural Development and Policy and Strategy (2005-2030), the EAC Common Market Protocol (July 2010) as well as the 4th EAC Development Strategy (2012-2016). In all these policy efforts, Partner States are committed to undertake a scheme for the rationalization of agricultural production with a view to promoting complementarity and specialization in and the sustainability of national agricultural programs and ensure sustainable food security among the states.

The EACFSAP is also an effort: to align its objectives to CAADP framework, particularly to respond to Pillar 3 on food security; and to increase resilience at all levels by decreasing food insecurity and linking vulnerable people into opportunities for agricultural growth. The EAC countries therefore needed to have a plan of action to build resilience in order to address chronic food insecurity which arises periodically in the region.

In support of the above EAC food security policy mandates, there was an agreement whereby Kilimo Trust mobilized funds to carryout an agricultural study in the region addressing the food security situation as well as enhancing market access and infrastructure. This study provided a wide range of recommendations for enhancing food security, food distribution situation experienced in the region. The findings of this major evidenced-based study were presented to the Heads of States Summit in November 2010, which supplemented the draft FSAP which was presented at the same Summit. The Heads of States agreed to the finalization of the FSAP, incorporating inputs from Kilimo Trust (and others). A working group was formed to finalize the draft action plan; this group was comprised of a wide range of stakeholders involving the public, private and CSO sectors. The FSAP was finalized and approved in record time (of 4 months, in April 2011), by the Heads of the EAC Partner States.

5.2.2 OBJECTIVES

The objectives of the EAC FSAP reflect the priority areas to be addressed by the EAC in food security

i) To create a harmonized approach for enhancement of food security in the region
ii) Increase food availability in sufficient quantity and quality
iii) Improve physical access to food
iv) improve stability of food supply and access in the EAC region

v) enhance the efficiency of food utilization, nutrition and food safety
vi) Develop an implementation strategy as well as a M&E results framework

5.2.3 MAIN ACHIEVEMENTS

i) The EAC has a common framework of action for revitalizing agricultural investment in the region
ii) The FSAP has provided the main basis for developing the EAC CAADP COMPACT (draft, October, 2013) and overall framework for preparing the forthcoming EAC CAADP Investment plan;
iii) Organizations implementing agriculture related projects and activities in the region have used the FSAP to develop proposals for projects in the region. The organizations are in this regard making sure that they align their projects and activities to the FSAP, and eventually the CAADP Compact and Investment Plan.

5.2.4 MAIN CHALLENGES

i) One of the major challenges of the FSAP is the lack or absence of a prioritized implementation plan, with detailed costs and a credible financing plan. It was envisaged during the planning stage that the EAC Secretariat/DAFS will draw up an annual implementation plan indicating financial commitments. This has not been realized because of the varying individual partner state priorities and national commitments and uncertain availability of financing.
ii) The FSAP momentum of utilizing an effective multi-stakeholder working group, which enabled it to achieve success in the formulation and approval stage, was not continued in order to devise and support a monitorable implementation plan (with "SMART" indicators), based on a sound results framework. Therefore, the implementation and its monitoring has been somewhat ad-hoc, and difficult to monitor precise milestones at the regional and country levels, leaving it also to the good will of each Partner State;
iii) The DAFS has inadequate technical staff to provide technical implementation support to the Partner States;
iv) There was inadequate regional and Partner State data for detailed operational planning and monitoring, particularly in assisting to set appropriate food security targets

5.2.5 EMERGING LESSONS

i) The funding provided by Kilimo Trust to undertake the study (together with other regional organizations, such as ESRF) that led to the formulation of the EACFSP and the multi-sector working group that developed the action plan is evidence on how EAC can harness existing technical expertise of regional organizations to support and accelerate development and implementation of food security policies and programs. This partnership can be achieved through the signing of MoUs between EAC and qualified regional stakeholder organizations to enable them to raise funds on behalf of EAC and provide essential technical services;
ii) The wider involvement of regional stakeholders in a technical working group promoted ownership and facilitated the development and approval of the action plan in record time of four months. This is a clear demonstration of the advantage of harnessing the technical capabilities of existing regional stakeholders to accomplish a task of a regional nature;
(iii) Inclusiveness of the regional stakeholders, including technical staff from each Partner State, in developing and supporting an implementation plan of the FSAP, based on the successful working group model used during the formulation stage, would have enhanced the prospects of achieving an enhanced implementation performance and evidenced-based results; and
(iv) Given the timely need to carry out a mid-term review of the FSAP (including its alignment with the emerging regional food security and nutritional plan), it would be prudent to re-establish a

multi-stakeholder working group, with adequate funding, to carry out the mid-term review and to support the implementation of the recommendations (including mobilizing of funding to support an updated financing plan).

5.3 Case Study No. 2: East African Avian Flu Regional Response Project

5.3.1 CONTEXT

The Project was developed in 2006/2007 at a time of heightened global alert of an avian influenza (AI) pandemic. There had already been other projects to address avian flu in the region but preparedness plans were limited. The EAC has a mandate to harmonize and strengthen surveillance and control measures for transboundary animal diseases (TADs). It was decided that a regional response was required and the EAC Secretariat cooperated with development partners (EU and FAO) to prepare and finance a suitable regional intervention.

5.3.2 PROJECT OBJECTIVES

The overall objective of the Project was to contribute to the socio-economic welfare and public health in the East African Community by minimizing the impact of avian influenza (AI). The specific objectives of the Project were to: (i) harmonize, synergize and coordinate National Action Plans for avian influenza and other transboundary animal diseases (TADs); and (ii) enhance sustainable capacity of the EAC Secretariat and national veterinary services. The Project was funded under the 9th European Development Fund (EDF) for Euro 3 Million (and based on a financing agreement between the EC and the EAC, dated March, 2008). Since it was agreed that the EAC had inadequate capacity to implement the entire project, it was agreed that the project would be implemented in two separate components under different delivery instruments.

5.3.3 MAIN ACHIEVEMENTS AND CHALLENGES:

Based on an independent evaluation report, it highlighted the main achievements and challenges of the project. [10] Overall, the evaluation found the project to be relevant and the objectives are still valid.

The EAC Secretariat was responsible for delivering one of the five Project results: Co-ordination mechanisms of the EAC in place and functional. The EAC component was slow to start and suffered from delays in the employment of the Accounts Assistant and, particularly, the Animal Health Expert. In addition, there were excessive delays in negotiating and finalizing a Letter of Agreement for transfer of funds from the FAO component for development of a regional livestock policy. Notwithstanding the delays, the EAC component was generally implemented in an efficient and effective manner according to the requirements

Before the avian flu project, the EAC had insufficient capacity to carry out coordination and harmonization on animal diseases actions in the region, and had little knowledge of the available human resource and laboratory capacity in each Partner State. Moreover, livestock departments in Partner States rarely communicated and most staff in the departments did not know each other. Through the project, EAC has managed to establish technical and steering committees which meet regularly. The challenge ahead is how to sustain the established coordination and harmonization mechanisms as well as meetings

[10] Final Evaluation Report, "East African Avian Flu Regional Response", prepared by Agric-Livestock Consultants – ALC (February, 2012).

of the technical and steering committees after the project.

Interviews with stakeholders showed that there was general satisfaction with stakeholder participation, the quality of the activities and the level of progress that was achieved. Stakeholders agreed that the Project has contributed to good cohesion and coordination between the Partner States; and the technical capacity has been improved for surveillance, laboratory testing and stamping-out.

There is a concern that the joint funding and lack of focus at EAC level may have taken away from the specific focus of the project on 'strengthening regional coordination and response under the EAC'. In addition, the unavailability of reports for some activities deprives the EAC Secretariat of detailed information on project actions. The EAC was the Contracting Authority and Chair of the Steering Committee, but did not routinely receive Project reports.

While there was the need to separate the project into two components because of lack of capacity at EAC is understood, the arrangement complicated the project implementation. It may be preferable to consider alternative implementation mechanisms to improve the effectiveness of future similar projects.

A point was made by stakeholders at the outset that the EAC and Partner States should lead and provide the direction for the Project as it is the beneficiary that has to live with the results. The implementation structure of the Project carried an inherent risk that the separate management of the two components could be divisive and unhelpful for institutional capacity building.

The overall evaluation concluded that the Project achieved considerable progress towards achieving its objectives. However, the evaluation noted that some key activities have been only partially completed and further work is required to achieve the objectives and to sustain the gains made.

5.3.4 EMERGING LESSONS:

The following six lessons can be derived from this regional project:

(i) EAC Secretariat has limited capacity and experience in preparing and implementing regional projects, although the livestock specialist on the DAFS staff made it possible for the EAC to demonstrate a "fast learning –by-doing curve";
(ii) the limited institutional capacity required a fragmented implementation arrangement, which add challenges to meeting the project objectives and sustaining project benefits;
(iii) While progress had been made in the specific two objectives (e.g., harmonizing and coordinating actions plans for AI and other TADS and enhancing capacity of EAC Secretariat and national veterinary services), the report also highlighted outstanding issues which remained to be completed to consolidate and sustain the benefits. For example, with the Project closing the regional animal health expert had departed, and it was noted that his departure put the gains "in jeopardy";

Furthermore, the evaluation report concluded that, "to achieve all of the project objectives and establish a sustainable capacity to manage avian influenza and other TADs, it is imperative that some of the key uncompleted activities are finalized in order to enhance the coordination and harmonization mechanisms of the EAC";
(iv) Accordingly, this implies that a longer implementation period (or second phase) would have been beneficial, given the time lag in strengthening sustainable capacities of EAC and Partner States involving complex regional issues of managing prevention and control measures against avian influenza and other TADs;
(v) The evaluation report highlighted a number of important follow-up recommendations, but there is no evidence that the EAC has been able to mobilize the additional support. Again, this suggest the need

for DPs to take a more realistic time frame and to provide expanded resources in providing support to strategic regional projects (e.g., as a second phase, conditioned on making good progress in the first phase, based on specified output and outcomes measures). At the same time, for such regional project, the EAC Secretariat should seek to work out appropriate modalities for ensuring seamless follow-up assistance for strategic regional initiatives, rather than allowing a situation where there is interrupted follow-up assistance, and loss of momentum from project activities, especially since the EAC regional capacity had been enhanced;

(vi) A positive lesson is that the Project experience has contributed to the enhanced capacity of the EAC DAFS to develop a comprehensive livestock policy (currently being finalized), which is further defining the EAC's precise role with regard to control of animal diseases and food security. Accordingly, this illustrates how engagement in a strategic regional project contributes to the formulation of an important regional policy (in this case, an EAC Livestock Policy).

5.4 Case Study No 3: Regional Food Balance Sheet (RFBS)

5.4.1 CONTEXT

In 2010, the East African Community (EAC) entered into a common market to further integrate the economies of East Africa and increase trade, competitiveness and investment. The common market provides for the free movement of staple food commodities within the region. The consensus view within East Africa is that the region, when taken as a whole, has sufficient food to feed itself. However, a total lack of information regarding the availability of food at both the national and regional level leads national governments to make ill-informed policy decisions that limit the movement and trade of key staple commodities from areas of surplus to areas of deficit. These import/export bans, and other marketing controls, are typically instituted out of a perceived fear of looming food shortages and are often counterproductive as they serve as a disincentive to production in subsequent seasons. This can lead to real food insecurity.

5.4.2 OBJECTIVES

To encourage the movement of food across borders, USAID-funded COMPETE has been working with (since 2011) the EAC, the Eastern Africa Grain Council (EAGC), governments, donors, NGOs and the private sector to develop, test and validate a viable and effective Regional Food Balance Sheet (RFBS). The main objective of the RFBS is to provide policy makers with the data they need to make informed decisions on policies that affect EAC/regional food security. RFBS highlights trade opportunities, facilitates greater regional market linkages and accelerates regional value chain integration. RFBS is an extension of the national food balance sheets and focuses on key staples - maize, rice, wheat, millet, sorghum, and beans - in the five EAC Partner States.

5.4.3 MAIN ACHIEVEMENTS

(i) Monthly National Food Balance Sheet Committee meetings are being held in each EAC country to validate data;

(ii) The data collection template, which has been adopted by the EAC and its Partner States, was originally designed for cereals and pulses. Its application at the EAC is being expanded to include other sectors such as: roots and tubers, oil crops, sugar, horticulture, livestock and fisheries. Data collected at national level are uploaded to the EAC's RFBS Portal (an internet-based platform), aggregated and disseminated to the region's policy makers and private sector.

(iii) Regional meeting to complete the institutionalization process within the EAC has been completed;

(iv) Registration and training of new contributors and monitoring of data uploading is ongoing; USAID/COMPETE trains national and regional FBS committee members in data collection, use of the template, and use of a RFBS Portal. The RFBS Portal is housed with the EAC;
(v) The World Food Program (WFP), the relief agency with the largest food stocks, has signed up as a data contributor;
(vi) RFBS integrated into the Regional Agricultural Trade Information Network (www.ratin.net) to provide one portal for supply, price and volume data on staple crops;

5.4.4 MAIN CHALLENGES

(i) There is a need to expand the pool of contributors, including the private sector, and to ensure timely and accurate reporting, and to build the capacity of National Food Balance Sheet Committees (NFBSCs);
(ii) To ensure that the private sector apply the RFBS in their engagement with governments, especially when lobbying for tariff waivers during regional deficit periods;
(iii) To build and strengthen systems that address the underlying causes of food insecurity;
(iv) To ensure working together across all five countries which will help ensure the sustainability of the RFBS; and
(v) To ensure the sustainability of the RFBS processes following completion of funding from USAID.

5.4.5 MAIN LESSONS

(i) The RFBS provides a powerful and timely information tool to help the EAC region break the cycle of shortsighted and ineffective trade policies enacted under the banner of food security;
(ii) Unlike the FAO based FBS, which shows the food situation in the past, the RFBS shows projected food availability based on actual (Carry Over Stock) and projected information (production estimate, projected imports and exports which is driven by industry requirement and food supply situation in the country);
(iii) RFBS is a very valuable tool for policy makers, and for the private sector when coupled with price information available through the Regional Agricultural Trade Information Network. Better knowledge of regional food availability, shortfalls and requirements should highlight trade and investment opportunities, facilitate greater regional market linkages and accelerate regional value chain integration;
(iv) It is vital that data contributors come from the private sector to ensure a complete and reliable picture of food stocks and balances; and
(v) The RFBS process will need to be supported beyond the Trade Hub (currently supported by USAID as a Project), and championed at both the regional and national levels, to ensure sustainability of the system following the completion of the Project.

6. CONCLUSIONS AND RECOMMENDATIONS

6.1 Main Conclusions

6.1.1 WITH RESPECT TO MAPPING OF INSTITUTIONAL ACTORS

The assessment exercise has benefited from the valuable inputs from diverse and strategic regional and Partner State stakeholders. They have demonstrated a keen interest in the exercise, as a way to facilitate their more effective engagement in the large and ambitious food security policy change agenda in the EAC. The institutional mapping shows that there are a relatively large number of technical regional and Partner State organizations involved in the food security policy cycle. Most of them demonstrate good capacity and strong commitment to engaging and supporting the EAC food security policy change. At the same time, there is diversity in country coverage, level of technical capacities, organizational sustainability prospects (since many rely on development partners funding). Also, there is a tendency for the various actors to work together on an ad-hoc basis, rather than systematically in a well-coordinated fashion. A lot of the collaboration seems to depend on individual initiatives and existing relationships. In most cases, it is those stakeholders who have resources to pay for their participation in EAC meetings who are able to get engaged and to work together, while the less endowed organizations are not able to get engaged. This implies that there is good potential for strengthening the coordination and systematic collaboration amongst the various actors, with the requirements to be determined on a case-by-case basis, to be supported with adequate funding (sources and mechanisms to be determined, while EAC Secretariat can play a key facilitating role). Furthermore, if well managed and coordinated, this scenario provides the EAC DAFS a good and needed opportunity to expand its technical capacities, absorptive capacity for managing a large agenda, given current severe staffing and funding constraints faced by the DAFS.

6.1.2 WITH RESPECT TO THE ASSESSMENT OF FOOD POLICY CYCLE AND CHANGE PROCESS

The core portion of this assessment exercise focused on identifying strategic achievements/outcomes, key challenges and identified gaps of the EAC policy change cycle/system. These have been highlighted for each of the six policy areas, and their component indicators, together with ratings (largely based on self-ratings by regional stakeholders) and corresponding strategic recommendations. The three case studies reviewed in this report also highlight some specific and notable achievements, challenges and emerging lessons, which help contextualize some of the main findings. In addition, Annex 3 provides further details on the findings in support of this assessment exercise: How East African Policies and Laws are Made and Implemented by East African Community (EAC) Institutions and Partner States: Identifying and Closing the Gap between Theory and Practice.

On the scale from 1 – 10, there were 3 policy areas with a rating of "7"; 2 policy areas with rating of "5", and one policy area with a rating of "4". Rather than repeating the findings here, the following section highlights the most important common and crosscutting areas which warrant priority attention from the perspective of enhancing the efficiency and effectiveness of the EAC food security agenda. Further details are presented in Chapter 4.

Major EAC Achievements [11] on agricultural and food security agenda includes the approval and implementation processes of (year of approval shown in parenthesis):

- EAC Agricultural and Rural Development Policy (2005)
- EAC Agricultural and RD Strategy: 2005-2030 (2006)
- EAC Food Security Action Plan: 2011-2015 (2011)
- EAC Industrialization Development Policy and Strategy (2012)
- SPS Protocol (approved, and awaiting ratification)
- Standards for 21 agricultural commodities
- Aflatoxin Protocol (in initial stages of formulation)
- EAC Livestock Policy (advanced stage)
- EAC Aquaculture Strategy and Implementation Framework (draft stage)
- Regional Food Security and Nutrition Policy (advanced staged)
- EAC CAADP Compact (advanced stage)

Major EAC Crosscutting challenges include 7 broad areas:

(1) EAC Structural Issues: A recent study was commissioned by the EAC Secretariat (draft June 2010), on the directive of the Council of Ministers, which carried out a review of the institutional functions of the EAC organs.

(i) Substantive Proposed EAC Reform Recommendations: The conclusions and recommendations are far reaching, which are currently under review by the EAC organs, and Council of Ministers;

(ii) Scope of Key Issues: The scope of issues include: core areas of reform; core functions for regional integration; sectoral policy distribution and articulation; central regional organ/CRO and community institutions; efficiency and effectiveness in delivering on CRO's functions; efficiency and effectiveness in delivering on Partner State functions; checks and balances; citizen's ownership; staffing and cost implications; funding; treaty amendment;

(iii) Relevance for DAFS: Addressing many of these issues could enhance the efficiency and effectiveness of the DAFS, given that these issues are beyond its direct control;

(iv) Third Institutional Review: However, it should be noted that this is now the third separate organizational review of EAC which has been carried out in the last 3 years, and where decisions have not been taken in the previous two organizational studies for a variety of reasons;

(v) Uncertainty of Next Review Outcome: There appears to be some uncertainty and risk that the report findings and recommendations may be delayed (or not be acted upon), due to the complex nature of the issues and varying interests of Partner States and other stakeholders; and

(vi) Interim Coping Strategies for DAFS: This implies the need to come up with interim strategies from the perspective of enhancing the coordination and mobilizing role, efficiency and effectiveness of DAFS, although not constituting complete solutions to the identified structural issues (see below).

(2) Technical Staffing and Funds of the DAFS: The EAC institutional review highlighted severe staffing constraints facing most (or all) departments of the EAC Secretariat.

(i) D AFS Staffing Constraints: This review has confirmed the severity of the staffing constraints, given the large and growing agenda being coordinated by DAFS;

(ii) Key Technical Gaps: Notwithstanding the high level of commitment and competency of the existing DAFS team, there is inadequate technical staff to manage/coordinate core areas—

[11] It should be noted that "achievements" cover a range of results, from completing a report, actual implementation and actual and evidenced-based results (at the outcome and impact levels). The challenge is to achieve the results. The recommendations outlined below are intended to promote a results-focused approach, and to support the capacities to achieve these tangible results.

namely, there is a need for 4 technical specialists, covering: agronomy, animal health, fisheries and sectoral M&E specialist, which also should have strong coordination/mobilizing skills (given that the EAC has only one M&E officer to cover the whole EAC Secretariat, mainly consolidating sectoral inputs, etc.);

(iii) Over-Reliance On Consultants: As noted in the EAC institutional review, there is an excessive reliance on short-term consultants to carry out a lot of the work, as this modality does not ensure continuity, institutional memory and effective coordination (e.g., many activities require strong coordination with other actors in EAC, such as the Trade Department, and regional stakeholders);

(iv) Contractual Consultants: In the interim, there are three contractual staff (contract of 1-2 years) which are providing useful contributions to the large agenda of DAFS, but this does not replace the need for full time technical staff position in the above areas (which is generally agreed by the Sectoral Council and Partner States);

(v) Budgetary Aspects: In addition, there is inadequate budget to help ensure the smooth coordination and running of the large regional Agricultural and Food Security agenda, including funds to help ensure stakeholder participation, including all five-Partner States and other regional actors, in the numerous consultations which are required for policy approval process and for effective implementation (and where there a stronger bias toward supporting the approval process rather than the implementation processes).

(3) Identification and Prioritization of a Large Agenda of Agriculture and Food Security: Over the past few years, the agenda for agricultural and food security has been growing progressively (as reflected in the AOPs of DAFS, Sectoral Council proceedings). Some of the key challenges include:

(i) Large number of activities in the FSAP: The FSAP has identified a comprehensive agenda of activities to be implemented by Partner States and other regional stakeholders, and requires a huge coordination effort by DAFS to ensure efficient, effective, balanced, timely implementation and complementarity;

(ii) Concurrent Activities: Many activities seem to be running concurrently, which makes it difficult to coordinate effectively;

(iii) Lack of Prioritization: Moreover, there is a tendency to state (or imply) that all of the activities have equal importance/priority and are aligned with regional priorities, but the above constraints warrant more explicit priorities to ensure strong alignment and adequate funding;

(iv) Good Will of Partner States: Given the above mentioned technical and budgetary constraints, reliance on good will of Partner States, and in view of this large agenda of activities, there is an absence of explicit prioritization criteria which could be applied in a more systematic basis to identify, screen and prioritize strategic activities (e.g., activities with "level 1 priority", with "level 2 priority", "level 3 priority");

(v) Bundling of Issues: There is also a tendency to bundle/aggregate important issues, which need to be addressed separately (e.g., the addition of a pastoralist policy onto the on-going Livestock Policy, which is now taking the form of a pastoralist action plan); and

(vi) CAADP Compact: There is good progress in the formulation of the EAC CAADP compact, but there is an absence of explicit prioritization criteria which could help guide the subsequent formulation of the EAC CAADP investment plan (and thereby help avoid the tendency of an unprioritized "shopping list" of regional activities).

There are a potential number of tools and modalities which can enhance the identification and prioritization processes and decision-making (see below), and thereby better support the important role of the Sectoral Council and the CAADP regional processes.

(4) Evidenced-Based Analysis: In recent years, there has been a growing role of introducing evidenced-based analysis as a key input for the design of proposed food security policies (e.g., the FSAP was

underpinned and enhanced by a background study carried out by two regional think-tanks (Kilimo Trust and ESRF), and contributed to the speedy approval by the Presidents of the five Partner States.
(i) Scope for Improvements: However, a closer examination reveals that there is scope for enhancing its role and effectiveness, including improved quality, disaggregation and accessibility of relevant data (e.g., using existing regional capacities more systematically; using evidenced-based analysis to support the implementation and accountability phases of the food security cycle; and integrating/embedding existing regional capacities as an extended technical arm of the DAFS, while also providing capacity development assistance to DAFS, Partner States and other stakeholders; strengthening the work of the EAC agricultural statistics working group); and
(ii) Support to EALA Decisions: In addition, there is a need to further strengthen the evidenced-based inputs to support EALA decision-making and monitoring processes, as well as to enhanced the budget to ensure adequate oversight functions by the EALA;

There are no continuous processes at regional and/or country levels to develop robust databases for the region on food and agriculture. Most of the available statistics are a result of many 'ad hoc' and uncoordinated efforts of extracting a particular data set for a particular program covering few sectors, limited geographical areas, and short period of time. What is required is deliberate, dedicated, continuous and comprehensive system of generating and maintaining useful agricultural statistics (which are responsive to the strategic needs of decision-makers).

(5) Extensive consultation and decision-making processes: As stated above, a key feature and strength of the EAC cycle is the importance attached to ensuring adequate consultations/validation with diverse country and regional stakeholders, particularly in the approval process.

(i) Consultation Requirements: Experience shows that these consultations require huge and timely planning, logistical and coordination efforts, financial costs and time to eventually arrive at a sound consensus by all key actors and strong alignment with regional priorities;
(ii) Postponement of Consultations: Often, there are many consultation meetings which have to be postponed/re-scheduled, due to various factors in order to ensure the presence and participation of a wide group of stakeholders; also, the necessary consultations take time and resources, which are not always available;
(iii) Private Sector Actors: There is also a somewhat limited involvement of private sector actors, which needs greater attention, given their vital role in expanding investments in the agricultural sector;
(iv) Importance of Consultation Phase: It is recognized that this consultation phase of the cycle is vital to help ensure strong ownership and effective implementation;
(v) Consultation Quality: Notwithstanding the above, there is also scope for improving the depth and quality of the consultations (e.g., holding them outside the capital cities, ensuring more in-depth discussion of options which could preempt resistance at the implementation stage, ensuring wider participation of stakeholders, especially by the private sector and at the grassroots level);
(vi) Sectoral Council Role/Capacities: Given the important role of the Sectoral Council and EALA, there is also scope for strengthening their technical capacities and work modalities to enhance the prioritization and decision-making processes for a strong results focus (e.g., use of well-defined working groups with stronger technical capacities; joint working meetings to ensure convergence of priorities and monitoring);
(vii) Dissemination Gap: In addition, there is a tendency when there are important regional conferences, policy decisions, and important documents are not widely disseminated to diverse stakeholders, which could strengthen commitment and implementation effectiveness. Again, this is further constrained by limited funds to convene stakeholders and to disseminate the relevant information.

(6) Implementation "Culture", Capacities and Results: While it is recognized that the benefits of the food security policy cycle will derive from the implementation phase, in practice there is a strong

"culture" which gives much greater emphasis and recognition to the approval of regional policies, programs and projects. Virtually all stakeholders interviewed affirmed this point.

(i) Implementation Orientation: There is an absence of a commensurate level of commitment, resources to ensure efficient, effective and timely implementation, and wide dissemination of approved policies to ensure adequate awareness and understanding by diverse stakeholders, with a view to generating evidence-based results (e.g., most policies lack a well defined operational plan, with a realistic budget; lack of attention to the role of sub-national actors in the implementation activities);
(ii) Primary Implementation Responsibility: This trend is also reinforced by the correct recognition that implementation is the primary responsibility of Partner States. However, this requires their "good will", and also requires effective coordination by DAFS;
(iii) Commitment and Capacities: Partner States exhibit various levels of commitment, capacity and resources (e.g., introduction of import tariffs, and export bans have occurred, which have required timely and coordinated interventions);
(iv) EAC Policy and Partner State Budgetary Cycle: Often, the approved policies do not synchronize with the budgetary cycle, therefore, there are no funds available to support timely implementation;
(v) DAFS Implementation Assistance Role: The severe technical staffing constraints of the DAFS limit its capacity to provide effective coordination and implementation assistance which could help ensure strong alignment during the implementation phase, such as witnessed when export ban was imposed by one Partner State (which is a stated role of the EAC Secretariat);
(vi) M&E System: The absence of a functional M&E system for the FSAP, and other regional programs, makes it difficult to track their implementation status, and thereby this limits needed interventions to ensure timely implementation and results (e.g., even when there was agreement to abolish import levy and export ban, it took almost one year from the time of highlighting the issue to its resolution). The FSAP has a specified time frame, and therefore a targeted and focused M&E is important to measure the performance of the FSAP, and also to contribute towards identifying the next priorities and phase.

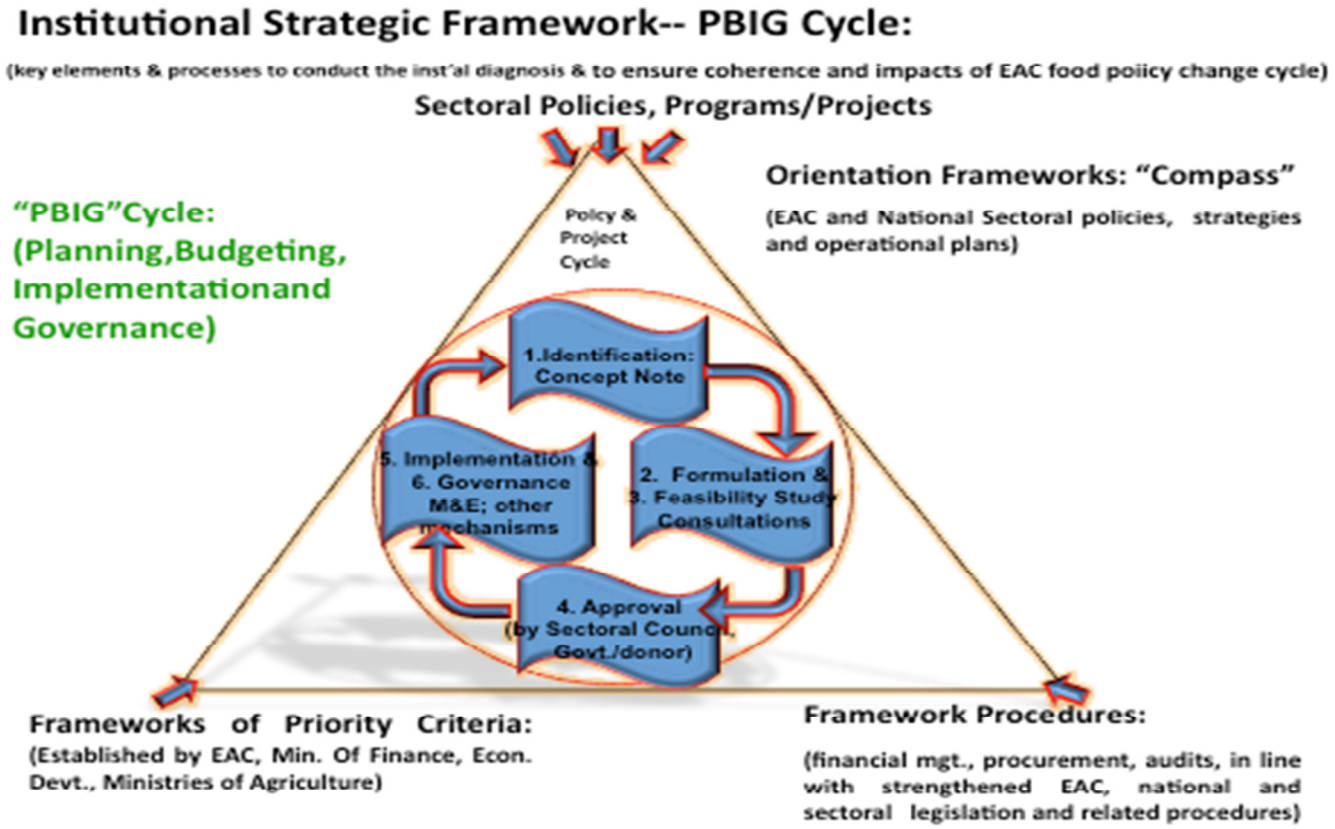
(7) Mutual Accountability: The DAFS prepares and submits periodic progress reports as an input to the overall progress report of the EAC Secretariat, and to the Sectoral Council (based on a template which is output oriented).

(i) Early Stages: While the EAC cycle recognizes the role of mutual accountability by various stakeholders, in practice, the processes and mechanisms are at an early stage of development and functionality. These include the absence of: regular meetings with DPs; regional CAADP compact, which involves the countersignature of representatives from key regional stakeholder groups (although at an advanced stage of formulation); designed and functional M&E system to track progress of implementation, key constraints and required actions; outcome indicator orientation, with SMART indicators, in its regular reports to the EAC Secretariat and to the Sectoral Council);
(ii) EAC Enforcement Authority: The EAC Secretariat does not have any enforcement authority and powers to require implementation of approved policies by Partner States, thereby relying on their "good will." Accordingly, there is a pattern of unevenly enforced EAC laws and regulations. The above-mentioned EAC Institutional Review report has highlighted this structural constraint, which impacts the level and degree of mutual accountability. To the extent the proposal of transforming the Secretariat into a Commission takes place, this will enhance the enforceability aspects.

6.2 Strategic Options/Recommendations

Overall Framework: In the light of the above conclusions on the main challenges which can stymie the achievements of strategic results in the EAC policy cycle, the review team has generated a linked (to the findings) and integrated package of crosscutting strategic recommendations/options. It is important that DAFS team prioritize and sequence their implementation, based on an operational plan, to ensure strategic results over the medium term. There is good potential for securing some short-term gains, too. Figure 6.1 illustrates a planning, budgetary, implementation and governance cycle ("PBIG Cycle"), such that other developing country experience suggests that customizing to EAC context and operationalizing this cycle can provide a useful roadmap to connecting the pieces/policy elements and to securing strategic results. It should be noted that a key "asset" to support the implementation of many of the proposed recommendations is the existing underutilized capacity of EAC stakeholder organizations, which if properly harnessed, mobilized and supported (see below), could add considerable capacity and results value-added.

Figure 6.1:



6.2.1 WITH REGARDS TO THE EAC STRUCTURAL ISSUES:

(i) Importance of the EAC Institutional Review Report: Given the structural nature of these challenges, it would appear that the recent consultancy report (2013) on the EAC review of institutional functions and other aspects could provide an input for higher level decisions to enhance: the decision-making processes at various levels; the adequacy of core staffing and funding of the agricultural department (as well as other departments). It is recognized that taking

these actions are outside the direct control of the DAFS, but it would appear that DAFS and other EAC Departments would benefit from expediting this review and decision-making process; and

(ii) Interim Strategy: Some of the recommendations below can make a positive contribution, albeit limited in scope, until the structural aspects are effectively addressed and carried out. Accordingly, DAFS could adopt an "Interim Strategy", given the uncertainty and timing of key decisions on the EAC Institutional Review, on matters "within DAFS control". For example this could include DAFS enhancing the alignment of its results targets, with those of IMPLEMENTORS (regional and national) on the ground, in line with the relevant strategies (and updated EAC results framework – see below). This means that DAFS should invest more its efforts in integrating and "in-crowding" programs of both the private and public sectors – so that such programs together support the objectives and priority targets set out in DAFS strategies and programs. This orientation has some important implications in terms of the competencies of the required DAFS staff to focus on this technical coordination work.

6.2.2 WITH RESPECT TO THE TECHNICAL STAFFING AND FUNDS OF THE DAFS AND OTHER KEY STAKEHOLDERS:

(i) Technical Staffing Aspects: The EAC Institutional Review document apparently outlines a framework approach to addressing the structural staffing and funding constraints in the EAC Secretariat. Until such decisions are taken, it will be important for DAFS to seek interim actions, given the heavy workload and expected outputs and outcomes. DAFS has proposed secondment of technical staff (3: agronomy, animal health and fishery specialists), drawing on experts from Partner States. This is a good proposal, to the extent it is feasible and ensures adequate quality staff, and should be expedited, to ensure selection of the most suitable staff. In addition, there is a need to include a M&E specialist, with a strong policy orientation, to support the work of DAFS, and the Partner States, to better track progress and results (using "SMART" indicators);

(ii) Interim Staffing Strategies: To the extent there is a delay in the secondment option, there is a need to pursue other short-term measures to strengthen the technical capacities of DAFS in the above 4 areas (e.g., obtaining funding from DPs to engage technical specialists on a contractual basis, to support priority work plan of DAFS). Project-based support would need to ensure strong alignment with these "core" and strategically prioritized work plan requirements;

- This enhanced technical capacity will enable DAFS to further leverage existing regional capacities, and to absorb a large number of outputs being generated by a large work plan;
- DAFS should arrange and coordinate a needs assessment of technical specialist requirements of key stakeholders which can play a key role in the policy cycle, including especially from the Partner State Ministry of East Africa Community Affairs.

6.2.3 WITH RESPECT TO THE IDENTIFICATION AND PRIORITIZATION OF LARGE AGENDA OF AGRICULTURE AND FOOD SECURITY:

(i) EAC Results Framework: EAC Department of agriculture and FS (DAFS) should use the CAADP compact working group, with possible consultant support, to prepare a sound EAC results framework/RF (which is also aligned with the continental-wide CAADP RF). See Annex 4 for a suggested RF template/framework, which illustrates the RF being formulated at the continental level. This EAC-specific RF could help sharpen the priorities, alignment and harmonization of:

- Food Security Action (see below for further points);
- Proposed Food Security and Nutrition Policy and Strategy (in process);
- EAC CAADP Compact (in process);

- EAC Investment Plan (forthcoming)

(ii) EAC Prioritization Criteria: The EAC working group (on the CAADP compact and RF exercise) could also prepare a proposed prioritization criteria to be reviewed and endorsed by the Sectoral Council (similar to the EAC 4th Development Strategy which includes prioritization criteria for all sectors/themes) but very broad for agriculture. As an illustration, possible criteria could include: (to be measured based on "SMART" indicators):

- Extent to which proposal supports the priorities (productive services and priority areas) of the 4th Regional Development Plan (2011-2016); it would be important to ensure priority is accorded to regional "public goods", as opposed to national/Partner State "public goods" (some specifics to be added);
- Extent to which proposal supports priority activities of the Food Security Action Plan (some of the specific priorities to be specified);
- Extent to which the proposal promotes and facilitates intraregional trade, with equitable benefits to Partner States;
- Extent to which the proposal generates sustainable broad-based benefits (incomes, employment, food security) to diverse stakeholders, including attractive financial and economic returns, quick and early benefits, and promotes regional comparative advantage in production systems;

Annex 5 illustrates a tool how the prioritization criteria could be applied in a consistent manner to help rank priority activities, given limited resources.

(iii) Mid-Term Review of the FSAP: DAFS to coordinate the formation of an existing EAC working group, to carry out a mid-term review of the FSAP, and to apply the above mentioned RF and prioritization criteria to derive an updated and prioritized operational action plans;

(iv) Updated Sectoral Strategy: In order to further enhance the predictability and strategic priorities, an EAC working group (to be comprised of the sectoral specialists of the Ministry of E. African Community Affairs and Ministries of AFS), coordinated by the DAFS, and possible consultant assistance, would prepare an updated multi-year (say, over a five year period) strategic and operational plan for agriculture, food security, natural resources and rural development. This should build on the above cited RF, prioritization criteria, and results of the mid-term of the mid-term review of the FSAP, and which should include "SMART" output and outcome indicators (also to be prepared on a priority basis). This updated strategy would also help inform and prioritize the CAADP regional investment program (see below).This updated AFSNRRD Strategy could also provide an input to the preparation of the next EAC Development Strategy (work for this exercise is likely to begin in late 2014);

(v) Concept Note as a Strategic Screening/Design Instrument: DAFS to adopt the practice of preparing a concise concept note for each proposed EAC policy or program/project initiative, to help ensure a clear articulation of its strategic rationale, and initial outline of proposed project objective, preliminary components, implementation arrangements and design options to be further analyzed, and corresponding indicative costs and benefits, and next steps for detailed preparation. This concept note would be used as a instrument for seeking further technical inputs, consensus by Partner States and key stakeholders, and to reviewed and approved (with relevant guidance) by the Sectoral Council. This mechanism would help ensure new EAC activities are scrutinized and prioritized more closely, given limited technical and financial resources. Annex 6 provides a suggested framework of a concept note which could be adopted to support EAC screening and design processes (including support for the forthcoming EAC CAADP investment plan).

6.2.4 WITH RESPECT TO EVIDENCED-BASED ANALYSIS:

(i) Justification-Viability Criteria-Indicators: Each proposed regional policy and program/project should include an explicit financial and economic analysis, customized to the relevant proposal;
(ii) Incidence Analysis: In order to help ensure smooth process of validation and approval of EAC policies, especially where there might be some controversy, it would be useful to include in the regional policy and program/project proposal an incidence analysis. This would help ascertain more precisely the costs and benefits, as well as identify the main types of beneficiaries of the policies corresponding to each Partner State (and varying stakeholders, some of which could block implementation, if not properly understood and identified, with appropriate mitigating measures/adjustments to each policy). Such incidence analysis could be carried out by regional partner think tanks (e.g., Kilimo Trust, ESRF, KIPRA, ReSAKSS, others);
(iii) M&E Framework for the FSAP: DAFS team to review the zero draft M&E framework for the FSAP, so that it can be finalized and operationalized as soon as possible, in support of expediting the implementation of the FSAP (and also in the light of the results of the proposed mid-term review);
(iv) EAC M&E Framework for Agriculture and Food Security Agenda: DAFS, with consultant assistance, should prepare a M&E framework, with "SMART" indicators, to help track implementation of a large agenda;
(v) Enhanced Agricultural Database: DAFS to develop an agreed proposal for enhancing agricultural data, based on the outputs of the on-going EAC agricultural statistics project (supported by FAO), in close collaboration with the EAC Statistics Division. There will be a need to mobilize additional funding from DPs (or other sources) to support and expand/sustain this data improvement program (countrystat and regionstat);
(vi) Joint Partnership Agreements/MOUs: In order to benefit from existing regional capacities of numerous think tanks (e.g., Kilimo Trust, ESRF, EAFF, EAGC, ASARECA, ReSAKSS-EA), there is a need for DAFS to draw up and/or update MOUs and joint partnership agreements with strategic regional think tanks which have demonstrated capacity for supporting the food security policy cycle. This will expand the capacity of DAFS to manage effectively its large agenda, while ensuring continuity of partners (rather than relying on consultants who "come and go"). It will also be important to ensure there is strong synergy such that the various regional think tanks work more closely together (e.g., sharing work plans could be a mechanism to promote this);
(vii) Establish and strengthen a Regionally coordinated and Common EAC Agricultural Analysis Platform– this mechanism can enable the Partner States to look at agricultural development from a common perspective. This can help ensure the demand-driven generation of regionally agreed programs and action plans by partner states and easy to integrate into programs of partner states. One of the regional think tanks (e.g., Kilimo Trust) could host such a platform to bring together the agricultural policy analysis units of all the Partner States as well as other relevant national and regional organizations whether public or private;
(viii) Streamlined EAC Procedures: Once such MOUs and joint partnership agreements are drawn up (ref. above), there is a need to ensure streamlined and efficient processes and procedures to provide timely funding/flow of funds in order to ensure timely implementation of the agreements, while at the same time meeting adequate accountability requirements. Some of the agreements can include support for mobilizing funding from diverse sources to support the regional agenda (e.g., Kilimo Trust has demonstrated experience and success in mobilizing funds to support the regional agenda).
(ix) EAC-embedded SAKSS: To explore the establishment of a SAKSS in the EAC DAFS, which is in line with the CAADP strategy of embedding SAKSS at the national and REC levels. The composition of the SAKSS could draw on existing analysts from regional think tanks, which would help ensure drawing on existing knowledge and expertise, and also reinforce the joint partnerships with regional think tanks (e.g., secondment arrangements from the participating think tanks, such as Kilimo Trust, ESRF). This will help develop institutional memory and ensure continuity of initiatives at the regional level.

6.2.5 WITH RESPECT TO THE IMPLEMENTATION "CULTURE", CAPACITIES AND RESULTS:

To help ensure ownership, relevance, and effective implementation, and drawing on existing capacities, to generate evidenced-based results, the following actions are recommended:

(i) Technical and Coordination Capacity of DAFS and Partner States: to strengthen the technical capacity of DAFS (per the options outlined above to secure four additional "core" positions[12] or interim options) and other key implementation actors at the country level (involving the sectoral focal persons in the Ministry of E. Africa Community Affairs, based on a more specific needs assessment); this will strengthen the absorptive and coordination capacity of DAFS to utilize various outputs (e.g., numerous relevant analytical studies), to tap/utilize the existing capacities of regional stakeholders, and to effectively coordinate the food security agenda, under the overall guidance of the EAC sectoral council;
(ii) Mid-Term Review of the FASP: Carry out a mid-term review of the FSAP (in early 2014), to determine more precisely progress, updated priorities and implementation and resource gaps, and a prioritized operational plan and budget requirements (which currently does not exist); the modality for carrying it out should follow the successful approach used in preparing the FSAP (e.g., technical working group comprised of DAFS and senior officers from Partner States, with assistance from one of the regional think tanks and existing consultant, with funding support from one of the DPs); [13]
(iii) Budgetary Allocations: DAFS/working group carrying out the FSAP mid-term review to ensure the annual budgetary proposals by Partner States include adequate budgetary allocations to support implementation and dissemination of priority FS actions and other priority regional initiatives (especially those with strong regional implications);
(iv) Budgetary Tracking: DAFS, together with Partner States, to strengthen the tracking of budgetary allocations (as part of the tracking of the 10% CAADP target); this task should form part of the strengthened M&E system (at regional and country levels). Coordination should be made with the agricultural statistics project (countrystat and regionstat) to ensure that this database includes these budgetary indicators on an annual basis (currently the figures are shown as not available);
(v) Joint Implementation Partnerships/Agreements: There is scope for DAFS to draw on considerable existing analytical and implementation capacities of regional think tanks (e.g., Kilimo Trust, ESRF, others), through joint implementation agreements and MOUs with DAFS; this will help enhance the absorptive and implementation assistance capacity of the DAFSP, given the current capacities and institutional memory of these regional stakeholders; a competitive selection process can be used for major tasks; and alignment of plans with different regional stakeholders;
(vi) M&E Framework for the FSAP: Complete, secure endorsement from the EAC system/relevant stakeholders, and implement the M&E framework for the FSAP (with assistance from ReSAKSS);
(vii) Sectoral M&E System: Establish and operationalize a functional M&E system to support the large and growing regional agricultural and food security agenda (with parallel efforts to strengthen the M&E system at the Partner State level); this M&E plan should build on the above mentioned EAC results framework to ensure it is linked to the most strategic outcome and output indicators, to ensure a results-focused (using "SMART" indicators);
(xiii) M&E Specialist: Given the large implementation agenda which needs to be effectively coordinated and tracked by the DAFS, there is an urgent need to secure an M&E specialist on the DAFS team (see item ii above); or to pursue an interim option until the position is secured (e.g., secondment or DP to fund an expert on a contractual basis);

[12] The technical gaps have been identified and generally agreed, namely with the following regional specialists: agronomist; animal health; fisheries; M&E.
[13] The AusAID-funded technical consultant recently assigned to assist DAFS can play an important role in helping to compile and analyze relevant information, and enhance the efficiency and effectiveness of the technical working group.

6.2.6 WITH RESPECT TO MUTUAL ACCOUNTABILITY:[14]

(i) Periodic DP Forums: DAFS to convene periodic (say, twice a year) meetings with DPs to keep them informed of strategic food security agenda, implementation progress of on-going initiatives, and forthcoming priorities which could help the DPs align their assistance strategies and programs, as well as to help mobilize funding for new priority regional initiatives;
(ii) EAC M&E Framework: DAFS should prepare a regional results framework, finalize the draft M&E framework for the FSAP, and a well-oriented M&E framework for the overall agricultural and FS agenda (and aligned with the M&E framework for FSAP), underpinned by "SMART" indicators. The M&E needs to be re-oriented so as to assess the performance of the sector and how the various regional actors and their activities are contributing to that performance. The M&E reports would also be very useful inputs in mutual accountability processes where all stakeholders, including partner states, secretariat, development partners, parliamentarians, farmer organizations and other private sector and non-state actors all take part.

The EAC M&E framework should be clear about the roles and responsibilities of the different actors in the agricultural sector, such that the M&E report captures contributions and inputs from all regional actors. The EAC M&E system should build on national M&E systems, as most implementation of policies and programs takes place at national level. There also is a need to strengthen national level M&E systems to ensure strong synergies with the regional M&E system; and
(iii) Support to Accountability Architecture: Ensure that the enhanced M&E frameworks would contribute toward the accountability foundation of the forthcoming EAC CAADP compact and subsequent EAC investment plan (in process), and should be incorporated in various other documents, such as the proposed updated EAC strategic plan, the recommended updated FSAP, prioritized AOPs for the DAFS, and operational M&E framework for the Agricultural and Food Security Agenda.

[14] It should be noted that at the CAADP continental level, there is on-going discussion in operationalizing a mutual accountability framework (MAF). This process is still at an early stage of development. MAF refers to the framework through which commitments between donors and governments can be monitored and evaluated. With regards to RECS, the development of MAFs is at an early stage, and there is a need to lay the basic groundwork, starting with periodic meetings between EAC and the DPs, based on an agreed agenda.

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ANNEX 1

EAST AFRICA COMMUNITY
INSTITUTIONAL ARCHITECTURE FOR FOOD SECURITY POLICY CHANGE

List of Persons/Organizations Interviewed
(October 14 – November 1, 2013; 36 meetings/interviews)

Country/ Kenya	Name	Designation	Organization
14 meetings (including regional stakeholders)	Peter Ewell	Regional Agricultural Advisor (retired as of end Oct., 2013)	USAID East Africa
	Michelle Bahk	Regional Trade Advisor, Power Africa and Trade Africa Initiatives	USAID East Africa
	Charlee Doom	Program Officer, Agriculture Team	USAID East Africa
	Stephen Gudz	Chief of Regional Agriculture Team	USAID East Africa
	Gerald Makau Masila	Executive Director	East African grain Council
	Julius Mwabu	Deputy Director, Productive Services	Ministry of East African Affairs
	Irene Musebe	Senior Assistant Director, Regional Integration	Ministry of East African Affairs
	Isaiah Okeyo	Director of Policy and External Relations	Ministry of Agriculture
	Stephen Muchiri	CEO	Eastern African Farmers Federation
	Bernard Kagira	Senior Economist	COMPETE Project
	Philip Kilonzo	National Food Rights Coordinator	Action Aid
	Philip Kiriro	President	Eastern African Farmers Federation
	Margaret Aleke	Manager, Food and Agriculture	Kenya Bureau of Standards
	Kimberly Hickok Smith	Director of Programs Eastern and Southern Africa	Africa lead
	Joseph Karugia	Coordinator	ReSAKSS - ECA
	Stella Masawe	M&E Specialist	ReSAKSS - ECA
	Paul Guthiga	Policy Analyst	ReSAKSS - ECA
	Evelyn Namubiru-Mwaura and Franklin Simtowe	Policy Officers (Land/Environment and Markets and Soils Health)	AGRA
	Allan Ngugi	Programme Officer, Private Sector and Civil Society	TradeMark East Africa

Tanzania	Mary Hobbs	Advisor, Agricultural Team	USAID Tanzania
7 meetings	Kevin McCowan	Policy Advisor, Agricultural Team	USAID Tanzania
	Dr. Bohelo Lunogelo	Executive Director	Economic and Social Research Foundation
	Solomon Baregu	Research Assistant	Economic and Social Research Foundation
	Victor Manyong	Director East Africa	International Institute for Tropical Research (IITA)
	Vianney Rweyendela	Country Coordinator	AGRA Tanzania
	Anthony Chamanga	Policy and Advocacy Manager	TAHA
	Amani Temu	Operations Manager	TAHA
	Stevenson Nzaramba	Regional Trade and Agribusiness Advisor	EAFF
	Lillian Awinja	Membership Development manager	East Africa Business Council
Uganda	Martin Fowler	Agriculture and Livelihoods Advisor/Econ. Growth Team	USAID, Uganda
8 meetings	Doug Griffith	Chief of Party	Enabling Environment Activity
	Stephen McCarthy	Chief of Party	Commodity Production and Marketing Activity
	Tom Mugisa	Program Officer, Technical Services	Plan for Modernization of Agriculture (PMA)
	Prof. Nuhu Hatibu	Chief Executive Officer	Kilimo Trust
	Turyomurugendo Levand	Director Agro management Services	Green Earth limited
	George Tumwesigye	Executive Director	PaNAAC Uganda
	Moses Muwanika Mafabi	Principal Agricultural Officer, Productive and Social Services	Ministry of Eastern African Community Uganda
	Michael Waithaka	Manager, Policy Analysis and Advocacy Program	ASARECA
EAC Secretariat			
7 meetings	Moses Marwa	Principal Agricultural Economist	East African Community/Agriculture
	David Wafula	Agricultural Program Support Specialist	East African Community/Agriculture
	Timothy Wesonga	Senior Livestock and Fisheries Officer	East African Community
	Willy Musinguzi	Principal Standards Officer	East African Community Department of Trade
	Robert Maate	Senior Statistician	EAC/Statistics
	Marco Gambamala	Ag. Statistics Officer	FAO/East African Community
	Dr. Olaho	Livestock Specialist	AU/East African

ANNEX 2

CAPACITY FOR FOOD SECURITY POLICY CHANGE INDICATORS

- **Red:** requires significant attention to ensure the component is achieved.
- **Yellow:** Progress is mixed. The conditions required to achieve the component are partially achieved, but additional attention is required.
- **Green:** The component is realized to a sufficient degree, and additional attention to this area is not required at this time.

Note: The focus of the exercise was to identify/agree on priority actions to enable move towards "green" results.

Policy Elements and Capacity of Policy Change Indicators	**Status**
Policy Element 1: Predictability of the Guiding Policy Framework (yellow)	
Clearly Defined and Consistent Policy Framework: (yellow) Is the policy framework impacting food security policy-making clearly defined, and consistently applied and enforced from year to year?	
Predictability and Transparency of the Policy Making process: (yellow) Is the policy development process transparent in accordance with the rules contained within the country's constitution, basic law, and elsewhere in the formal legal framework?	
Clear and Functional Legislative System: (yellow) Is there is a legislative capacity to deal with food security policy change? Are the legislative requirements clearly defined and predictable?	
Appropriate Dispute Resolution Process/Judicial Framework: (yellow) Is the judicial system perceived as fair and effective? Is there is an appropriate system for dispute resolution where conflicts arise relating to food security policy?	
Clearly defined Institutional Responsibilities: (yellow) Are **i**nstitutional responsibilities clearly defined, consistently applied, and predictable from year to year?	
Policy Element 2: Policy Development & Coordination (yellow)	
Approved Food Security Strategy/Investment Plan: (yellow) Is there is an approved/official multi-sectoral, multi-year food security plan developed, with specifies priorities and objectives? Does the plan address the roles of various contributors, including across	

Policy Elements and Capacity of Policy Change Indicators	Status
government, the private sector, and CSOs? Is the vision and strategy to improve food security clear?	
Predictable Policy Agenda and Priorities Developed: (red) Is the policy items required to achieve the national food strategy identified and documented, i.e., specific policy objectives exist?	
Annual Work Plans Developed: (yellow) Is there an annual work plan that identifies objectives and activities in regard to policy development?	
Coordination Process Structured and Functional: (yellow) Is there an entity, such as a coordination unit or task force that has defined membership and meets regularly to discuss, develop and coordinate food security policy development (and oversee cross-sector coordination)?	
Functional Secretariat/Administrative Support: Is there an adequate staff capability to perform required support processes, including coordination, meeting management, communication, and document management? Note: This may be a stand-alone secretariat, or a responsibility within an existing entity. (yellow)	
Technical Capacity Available to Perform Defined Functions: Are there work groups, or technical committees, that have the authority and capacity to perform the following functions: identify policy and technical challenges/issues, develop sector- or project-specific policies/strategies, consult within the sector and draft funding proposals? Note: There should be active participation by the private sector and CSOs on the technical work groups (as appropriate). (yellow)	
Political Support and Approval Process Available to Support Policy Implementation: (yellow) There is a line of authority/participation by high-level decision-makers above the ministerial level so as to enable efficient political support for the passage and development of new policies, e.g. involvement of prime minister's office (especially for policies that cut across sectors, e.g. trade and agriculture).	
Engagement of Parliament/Legislative Body in Food Security: (yellow) Is there engagement from the country's legislative entity to consider debate and engage on food security issues, and to sponsor and advocate for the required legal/policy changes?	

Policy Elements and Capacity of Policy Change Indicators	Status
Policy Element 3: Inclusivity and Stakeholder Consultation (yellow)	
Inclusive Participation within the Policy Coordination Management Entity: Does the main coordination entity have: a) clear goals and participation from key government ministries? (Beyond just Ministry of Agriculture) and; b) some representation from non-government entities, particularly from donors? (yellow)	
Stakeholder Outreach and Communications Process: (yellow) Is there is a process for interacting with stakeholders and sharing information? Note: This could include regular public "forums", a website of key information and other mechanisms.	
Opportunity and Space for Private Sector Participation Provided (yellow) Is the private sector provided meaningful opportunity to participate in policy formulation and strategy discussions? This could be through participation in the management/steering committee, in technical work groups and/or through other forums. Communications and interactions should be two-way, and access to key information should be readily available.	
Capacity and Opportunity for Private Sector to Participate in Decision making Exists (yellow) Do some organizations representing the private sector have the capacity to participate in government-led discussions on food policy? Note: This is to say they are able to represent their members, they are able to articulate and communicate policy positions, and they are able to provide some level of evidence-based analysis to support their viewpoints.	
Capacity and Opportunity for CSO Participation in Policy Formulation Structures Exists (yellow) Is the CSO sector, including representation from women's associations and farmers associations, provided meaningful opportunity to participate in policy formulation and strategy discussions? This could be through participation in the management/steering committee, in technical work groups and/or through other forums. Communications and interactions should be two-way, and access to key information should be readily available.	
Capacity of CSOs to Participate Food policy Discussions Exists: (yellow) Do some organizations representing civil society, including representation from women's associations and farmers associations; have the capacity to participate in government-led discussions on food policy? This is to say they are able to represent their members, they are able to articulate and communicate policy positions, and they are able to provide some level of evidence-based analysis to support their viewpoints.	

Policy Elements and Capacity of Policy Change Indicators	Status
Policy Element 4: Evidence-based Analysis(yellow)	
Economic and Financial Analysis Completed as a Component of Planning: Are national food security priority policy initiatives/investment plans based on economic and financial analysis, including independent policy analysis? The analysis is available for public review. (red)	
Performance Monitoring Measures and Targets Developed: Is the national food security policies/plans including specific objectives, performance indicators, and targets exist to monitor the accomplishment of the objectives. (red)	
Quality Data Exists for Policy Monitoring: (red) Is there is a database of quality statistics that is used to routinely report and analyze progress in achieving objectives? (Analysis to be conducted by USDA – and not as part of this assessment framework.)	
Quality Data is Available for Policy Making: (yellow) Is data on the performance of the agriculture sector and the food security publically available and shared in a timely manner? Is this information available for others to use and analyze?	
Evidence-Based Analysis Included in the Policy Development Process: Is evidence-based analysis is considered and used to develop policy priorities/policy proposals? (yellow)	
Capacity to Monitor Policy Implementation and Results: (red) Does the government have the ability to review data on policy performance and produce an analysis of the policy's effectiveness? Does a policy analysis function/unit exist that has adequate and skilled staff, and is sufficiently funded? Is it possible, if required, to outsource specific analysis to specialized firms or consultants as needed (case-by-case)?	
Annual Performance Measurement Report Produced and Reviewed: (yellow) Is evidence-based analysis produced to review policy effectiveness (for implemented policies)? Is a formal review session held, that includes key development partners (including principal donors and multilateral partners, such as FAO and IFPRI)? Are recommendations developed as a result of the review and incorporated into subsequent plans?	

Policy Elements and Capacity of Policy Change Indicators	Status
Independent Analysis Capacity Exists: (red) Is there an independent capacity to analyze food security data and use the analysis to make policy recommendations and engage in policy discussion and advocacy? Could such an analysis be conducted by a research institute, university or similar non-governmental/objective organization? Is this capacity engaged in the government's policy development and review process as, for example, through papers, forums or participation introduced in official policy review and discussion meetings?	
Policy Element 5: Policy Implementation (red)	
Implementation Plans Developed: Has the overall food security strategy been broken down into programs and projects that have: (red) a) a sufficient level of detail to permit implementation? b) "Packaged" into priority projects that can be managed by ministerial units?; and c) "Packaged" priorities translated into funding proposals to gain support for projects/programs from development partners (to address financing gaps)?	
System In Place to Analyze Implementation Capacity Constraints: (yellow) Is an analysis of institutional, workforce, system and financial constraints conducted? Are critical implementation constraints identified; a work plan developed to address constraints; and implementation actions moved forward (and periodically reviewed)?	
Food Security Policy Priorities Aligned with Work Plans of Line Ministries: Is priority policy and associated objectives of the national food security strategy broken down into specific programs and projects (with a sufficient level of detail) so that policy actions can be implemented by line ministries? Are the plans of individual ministries and units within ministries, aligned with overall national strategy and its policy objectives? (red)	
Policy Implementation Budget Committed by Host Country: (yellow) Are resources committed by the host country to implement the identified policy agenda? Is the country's budget over time, adjusted to provide adequate financing for the implementation of actions required to implement policy priorities? Are budget documents, including budget proposals, released fully and in a timely manner?	

Policy Elements and Capacity of Policy Change Indicators	Status
Supplemental Implementation Funds Secured: (red) Can proposals be submitted, and funds secured, to address financing gaps? Can funds come from multilateral funds (such as GAFSP), regional organizations, bilateral donors and the private sector?	
Monitoring and Evaluation Functional: (red) Does capacity exist within the public sector, private sector, or civil society to review the effectiveness and impact of policy changes? Are sector reviews performed and other research evidence collected? Is there is a system to share, store, and access the findings from these reviews?	
Policy Element 6: Mutual Accountability	
A Forum Exists for Regularly Scheduled Donor-Government Meetings: Do these meetings discuss policy and programs and set priorities? (yellow) Do these meetings include, for example, Joint Sector Reviews, sector working groups or other similar arrangements?	
Joint Policy Priorities Developed: (yellow) Is there a document that articulates the shared policy objectives between the government and the donor community?	
Monitoring System Exists: (red) Are there performance measures (for the performance commitments of the government and for the performance commitments of the donors)? Is there is a schedule for reviewing and documenting progress -- on annual basis?	
Donor Coordination – Alignment and Harmonization: (yellow) Is there a process for donor participation in the food security policy process and for aligning government and donor objectives and priorities? Are donor programs obligated to contribute directly to host country strategies, plans, and objectives? Does this include the signing of cooperation frameworks that indicate a joint commitment to specific policy change goals?	
Private Sector Accountability Procedures: (yellow) Does the government provides feedback to the private sector on the performance of the food security program (including the private sector's role) and provide an opportunity for dialogue on the program and its performance?	
CSO Sector Accountability Procedures: (yellow) Does the government provide feedback to the CSO sector on the performance of the food security program (including the role of CSOs) and provide an opportunity for dialogue on the program and its performance?	

ANNEX 3

How East African Policies and Laws are Made and Implemented by East African Community (EAC) Institutions and Partner States:

Identifying and Closing the Gap between Theory and Practice

TABLE OF CONTENTS: [15]

- **Brief situational analysis about EAC**
- **Distinction between an Act/Law and a Policy**
- **Organs with powers to legislate/make policies in EAC**
- **How policies are made in EAC (Flow chart demonstration)**
- **How Bills are made into Acts/Laws in EAC (Flow chart demonstration)**
- **EAC organs and Non State Actors involved in Agriculture and Food Security**
- **Documentation on EAC Agriculture and Food Security**

[15] ***Prepared by Happy Mukama (LL.M) Attorney at Law, Kigali, Rwanda.***

EAC SITUATIONAL ANALYSIS

The membership of the East African Community (EAC) comprises the Republics of Burundi, Kenya, Rwanda, Uganda and the United Republic of Tanzania. The treaty establishing the East African Community was signed on 30th November 1999 and entered into force on 7th July 2000. The Republic of Rwanda applied for EAC membership in 1996 and officially became a member on 1st July 2007 together with the Republic of Burundi. As stated under Article 5 (2) of the Treaty,
"*the Partner States undertake to establish among themselves and in accordance with the provisions of this Treaty, a Customs Union, a Common Market, subsequently a Monetary Union and ultimately a Political Federation in order to strengthen and regulate the industrial, commercial, infrastructural, cultural, social, political and other relations of the Partner States to the end that there shall be accelerated, harmonious and balanced development and sustained expansion of economic activities, the benefit of which shall be equitably shared*[16]."

The EAC consists of bodies such as the Summit of Heads of State or Government, Council of Ministers, Sectoral Councils, Coordination Committee, Sectoral Committees, the East African Court of Justice (EACJ); the East African Legislative Assembly (EALA); and the EAC Secretariat. To expand the regional programs, additional bodies have since been established such as the Lake Victoria Basin Commission (LVBC), the Lake Victoria Fisheries Organization (LVFO) and the East African Development Bank. Other commissions established to date include: the East African Science and Technology Commission; the East African Health Research Commission; the Inter-Universities Council for East Africa; the East African Kiswahili Council and the East African Community Civil Aviation, Safety and Oversight Agency.

EAC Treaty Provisions on Agriculture and Food Security

Art. 105 of the EAC Treaty provides for the scope of cooperation by partner states on agriculture and food security in East Africa. It stipulates that '*the overall objectives of co-operation in the agricultural sector are the achievement of food security and rational agricultural product ion within the Community*'. To this end, the Partner States undertake to adopt a scheme for the rationalization of agricultural production with a view to promoting complementarities and specialization in and the sustainability of national agricultural programs in order to ensure a common agricultural policy; food sufficiency within the Community; an increase in the production of crops, livestock, fisheries and forest products for domestic consumption, exports within and outside the Community and as inputs to agro-based industries within the Community; and post-harvest preservation and conservation and improved food processing.

Art. 105 (2) of the EAC Treaty stipulates that '*Partner States under take to co-operate in specific fields of agriculture, including: the harmonization of agricultural policies of the Partner States; the development of food security within the Partner States and the Community as a whole, through the product ion and supply of foodstuffs; agro-meteorology and climatology to promote the development of early climatological warning systems within the Community; the development and application of agricultural training and research and extension services; the adopt ion of internationally accepted quality standards for food; the establishment of joint programs for the control of animal and plant diseases and pests; the marketing of food and the co-ordination of the export and import of agricultural commodities; joint actions in combating drought and desertification ; and in such other fields of agriculture as the Council may determine'*.

Art. 110 of the EAC Treaty on food security stipulates that partner states shall: *'establish a mechanism for exchange of information on demand and supply surpluses and deficits, trade, forecasting and state of food nutrition; harmonize quality and standards of inputs and products including food additives; develop*

[16] *East African Community Development Strategy (2011/12-2015/16)*

modalities to have timely information on market prices; harmonize food supply, nut r it ion and food security policies and strategies'.

Supremacy of EAC Law over National Laws

The EAC Treaty provides for the supremacy of EAC law commitments over national law. It states that EAC laws take precedence over similar national ones on matters pertaining to the implementation of the EAC treaty (Article 8) and further that decisions of the East African Court of Justice (EACJ) must be adopted and applied by partner States (Article 38).

Distinction Between a Law and a Policy

According to Salmond, a *law is a body of rules and principles recognized and applied by the state for the administration of justice*. Black's law Dictionary gives one definition that is sufficient. It defines law in its generic sense as '*a body of rules of action or conduct prescribed by a controlling authority, and having a binding legal force which must be obeyed and followed by citizens subject to sanctions or legal consequences*.' Legal scholars do not agree on a single definition of the law.

According to Charles L. Cochran and Eloise F. Malone, a policy is '*a piece of document containing a set of non-binding regulations/objectives that a government or organization sets for itself to implement its programs to achieve its mission'*. The main distinction is that laws are compulsory and provide punitive measures/sanctions when breached whereas policies are not binding. They provide guidance on how to implement programs of any given entity. In the public sector, a policy outlines what a government ministry hopes to achieve and the methods, procedures and principles it will use to achieve them.

EAC policies and laws/Acts are made by different organs because they also serve different purposes. Laws are exclusively passed by the East African Legislative Assembly (EALA) and assented to by Heads of State whereas policies are made by the Council of Ministers as the policy-making organ with the assistance of Sectoral Councils. The EAC Secretariat ensures their implementation. The Council of Ministers is composed of Ministers in charge of Regional Cooperation from all EAC partner states. It is headed by a Minister of EAC Affairs (Chairperson) from each partner states who holds a one-year mandate on a rotational basis.

The Sectoral Council is composed of different ministers from partner states who meet to address a certain issue in an area of cooperation for the Community. Foristance, the Sectoral Council on agriculture and food security is composed of Ministers with agriculture in their attributions from all EAC partner states. The Sectoral Council on Legal and Judicial Affairs is composed of Ministers with Justice in their attributions. Policies on agriculture, food security and related issues are therefore made by the Sectoral Council on Agriculture and Food Security with the assistance of the Sectoral Committee (experts from agriculture ministries in partner states), the EAC Secretariat and the Sectoral Council on Legal and Judicial Affairs.

Difference Between the EAC Treaty, Protocols and Acts passed by EALA

The Treaty is the "Constitution" of the basis for cooperation of EAC partner states that spells out the reasons for cooperation, the principles and objectives of cooperation and the areas of cooperation (EAC Treaty Chapters 11 to 24). Protocols are made under the EAC Treaty and are an integral part of the Treaty (Art.151.1 and 15 1.4).

For each area of cooperation in the Treaty, the Partner States shall conclude Protocols which spell out the objectives and scope of cooperation and the institutional mechanisms to be put in place to ensure cooperation. (Art.151). Examples are the Common Market Protocol which regulates free movement of goods, persons, labor, services etc and the Customs Union Protocol which regulates customs procedures (trade in goods).

The Protocols give details to the cooperation in the Treaty and Partner States commit to specific areas and the scope of cooperation. Some Protocols have annexes in form of regulations which further detail how the cooperation will be implemented. (Annex V of the Common Market on the Schedule of commitments for progressive liberalization of services, Annex II of the Common Market on Free movement of Workers regulations.) Etc.

Protocols may be compared to policies at Partner State level. They do not have force of law until ratified and even after ratification; they need to be operationalized through domestic law. The Treaty and the Protocols are made by the Summit and the Council of Ministers (the executive arm of the EAC) while the Acts are by EALA (the legislative arm of the Community).

Actual Practices:

EAC organs make policies and laws to be implemented by EAC institutions and partner states. Each EAC organ has an explicit mandate laid down in the EAC Treaty to avoid usurpation of powers by officials who head different EAC institutions. EAC laws and institutions therefore supersede national laws of partner states. Partner states are supposed to amend and harmonize their laws with adopted community laws. Community protocols are also supposed to be domesticated (turned into national laws) by partner states to be implemented.

Gaps identified in the EAC policymaking process do not only affect the agriculture and food security sector since they crosscut to other EAC areas of cooperation. General gaps identified here include a clash between EAC Treaty provisions and Common Market (CM) provisions. Some CM articles give precedence over the EAC Treaty for instance Art 8(4) of the Treaty stipulates that "*Community laws shall take precedence over similar national ones on treaty matters pertaining to the implementation of the Treaty*". Art. 15 of the CM contradicts this and stipulates that "*access to and use of land and premises shall be governed by national policies and laws of the Partner States*"; Art 7(3), 13(10), 14(6) of the CM also stipulates that '*free movement of persons, labor, workers, and permanent residence are all guaranteed under national laws*.' These clashes impede the implementation of various EAC projects and the free movement of professionals from different partner states.

The Common Market provides for free movement of goods, services, workers, capital and the rights of establishment and residence. However, the CM provides that these rights are enjoyed with '*limitations to public policy, public security or public health and permanent residence and access to and use of land'*. The discretion to determine all these limitations is given to a partner state. This is therefore prone to abuse because there is no standard definition of public policy, security and health.

Having said this, the agricultural sector has its own particular challenges. Gaps within the agricultural sector include inadequate staff within the directorate of agriculture and food security at the EAC Secretariat and reluctance by partner states to implement community agricultural policies adopted. Agricultural production and productivity in the EAC is also largely constrained by natural factors, policy and adoption of technologies. The reasons for poor performance of the agricultural sector include:
Policy related factors:

- Governance,
- Legal and regulatory framework,
- Insecurity,
- Inadequate access to productive resources,
- Inadequate participation of local communities,
- Poor physical infrastructure and utilities,
- Weak institutional framework,
- Low public expenditure; and
- Unfavorable terms of trade

Technology related factors:

- Inadequate research, extension services and training; and
- Prevalence of pests and diseases
- Nature related factors:
- Degradation of natural resources; and
- Climatic and weather unpredictability
- Cross cutting and cross-sectoral related factors:
- High incidence of poverty;
- Inadequate social infrastructure; and
- Gender imbalances

The above constraints have inhibited the rural economy's potential to:

- alleviate poverty through employment creation and income generation;
- meet growing food needs driven by rapid population growth and urbanization and;
- stimulate overall economic growth, given that agriculture is the most potential lead sector for growth and development; and conserve natural resources.
-

The main challenge facing the rural sector is to increase productivity and economic growth in order to halt the worsening food security and to reduce poverty by 50 percent by the year 2015. This is at a time when East Africa faces declining financial resource base, HIV and AIDS pandemic, globalization and declining natural resources, which reduce availability of investment funds.

East Africa has a significant irrigation potential that remains unexploited. Irrigation can play an important role in increasing agricultural productivity, expanding area under production and stabilizing agricultural production in situations of adverse weather conditions. Opportunity to expand irrigated agriculture exists. Utilization of this opportunity would boost agricultural production.

The Community is faced with a number of challenges: harmonizing various policies and legislations; increasing involvement of local communities in planning and decision making; increasing production and economic growth; elimination of Tran boundary pests and diseases including wildlife diseases; expanding irrigated agriculture; reducing poverty levels; combating the HIV and AIDS pandemic; slowing down the environmental degradation and desertification process; sustaining utilization of natural resources; establishing an effective early warning system and improving governance, security and political stability.

Key Reasons for the "Gap":

Key reasons for these gaps are general in nature. They include partner states failure to abide with time lines to ensure timely implementation of the CM progressive establishment of the CM leads to delays,

Main Recommendations:

- Partner states should amend their laws to accommodate community agricultural policies, laws and protocols to facilitate the free movement of factors of production within the community.
- Key agricultural policies which are still in the pipeline should be adopted to diversify the agricultural sector in the community.
- More non-state actors involved in agricultural issues should be brought on board by EAC.
- Improving Food Security
- Accelerating Irrigation Development
- Strengthening Early Warning Systems
- Strengthening Research, Extension and Training
- Increasing Intra and Inter Regional Trade and Commerce
- Upgrading the EAC Physical Infrastructure and Utilities

EAC ORGANS IN CHARGE OF MAKING COMMUNITY POLICIES AND LAWS

The Secretariat

Art.71 of the EAC Treaty stipulates that the Secretariat as the executive arm of the community shall be responsible for initiating, receiving and submitting recommendations to the Council, co-ordination and harmonization of the policies and strategies relating to the development of the Community through the Coordination Committee; initiation of studies and research related to the implementation of programs of the Community.

The Council of Ministers

Art.14 of the Treaty stipulates that the Council shall be the policy organ of the Community. The Council shall promote, monitor and keep under constant review the implementation of the programs of the Community and ensure the proper functioning and development of the Community in accordance with this Treaty.
The Council shall make policy decisions for the efficient and harmonious functioning and development of the Community; initiate and submit Bills to the Assembly (EALA*)*, give directions to the Partner States and to all other organs and institutions of the Community other than the Summit, Court and the Assembly; make regulations, issue directives, take decisions, make recommendations and give opinions in accordance with the provisions of this Treaty.

The Council shall cause all regulations and directives made or given by it under this Treaty to be published in the Gazette; and such regulations or directives shall come into force on the date of publication unless otherwise provided therein.

The Partner States hold meetings of the Council of Ministers to give direction to the Community and to approve policies and programs for the Community. Council of Ministers meets twice a year (one meeting to be held before the summit). Extra ordinary council meetings can be held at the request of a Partner State or the Chairperson of Council. Decisions of Council are by Consensus.

Sectoral Council

Sectoral Councils are set up by the Council of Ministers under Art.14 (3) (i) of the EAC Treaty to assist the Council in the discharge of its functions. They are composed of different cabinet ministers from all partner states. They are specialized organs of the Community which attend to specific areas of cooperation. (e.g. agriculture, transport, health, legal etc). They also pass Protocols and policies for the areas of cooperation and provide for the mechanisms and strategies for their implementation into partner states.
The available Sectoral Councils of the Community include Sectoral council on agriculture and food security, Sectoral council on cooperation in defense, Sectoral council on energy, Sectoral council on cooperation in health, Sectoral council on education, culture and sports, Sectoral council on Lake Victoria Basin Commission, Sectoral Council on Legal and Judicial Affairs, Sectoral Council on Trade, Finance, Industry and Investment, Sectoral Council on Transport, Communications and Metrology and the Sectoral Council on the EAMU.

The East African Legislative Assembly (EALA)

Article 49 of the EAC Treaty establishes EALA as the legislative organ of the Community. Like most legislatures, EALA has as its core functions of legislating, oversight and representation**.** Art.62 of the EAC Treaty stipulates that the enactment of legislation of the Community shall be effected by means of Bills passed by the Assembly and assented to by the Heads of State, and every Bill that has been duly passed and assented to shall be styled an Act of the Community, When a Bill has been duly passed by the

Assembly the Speaker of the Assembly shall submit the Bill to the Heads of State for assent in order to become a community Act.

Relationship between EAC Secretariat and the Partner states

Art.72 on the relationship between the Secretariat and the Partner States stipulates that The Partner States agree to co-operate with and assist the Secretariat in the performance of its functions as set out in Art.71 of the EAC Treaty and agree in particular to provide any information which the Secretariat may request for the purpose of discharging its functions.

Actual Practices:

The Council and the Summit have powers to legislate. The Council initiates and presents EAC bills before the EAC Assembly whereas the Summit assents to these bills to become Acts. Identified gaps include:

- Taking decisions of the summit through consensus instead of absolute majority.
- The EAC Treaty has given powers of legislation to many of its organs and institutions (EALA, the Summit and the Council).
- The legislative responsibility conferred on the Council has the potential of usurping the role of the EALA, particularly in a situation where the two organs disagree on policy issues.

Key Reasons for the "Gap":

Decisions through consensus by the Summit delays the EAC integration process because when one Head of State/country refuses to sign a bill or to take a certain decision, it cannot be passed.

The treaty confers legislative powers on the Summit. This statutory responsibility undermines the role of the EALA which has a sole mandate of making community laws. Article 11 (6) of the treaty provides that "*An Act of the Community may provide for the delegation of any powers, including legislative powers, conferred on the Summit by this treaty or by any Act of the Community, to the Council or to the Secretary General*"

Main Recommendations:

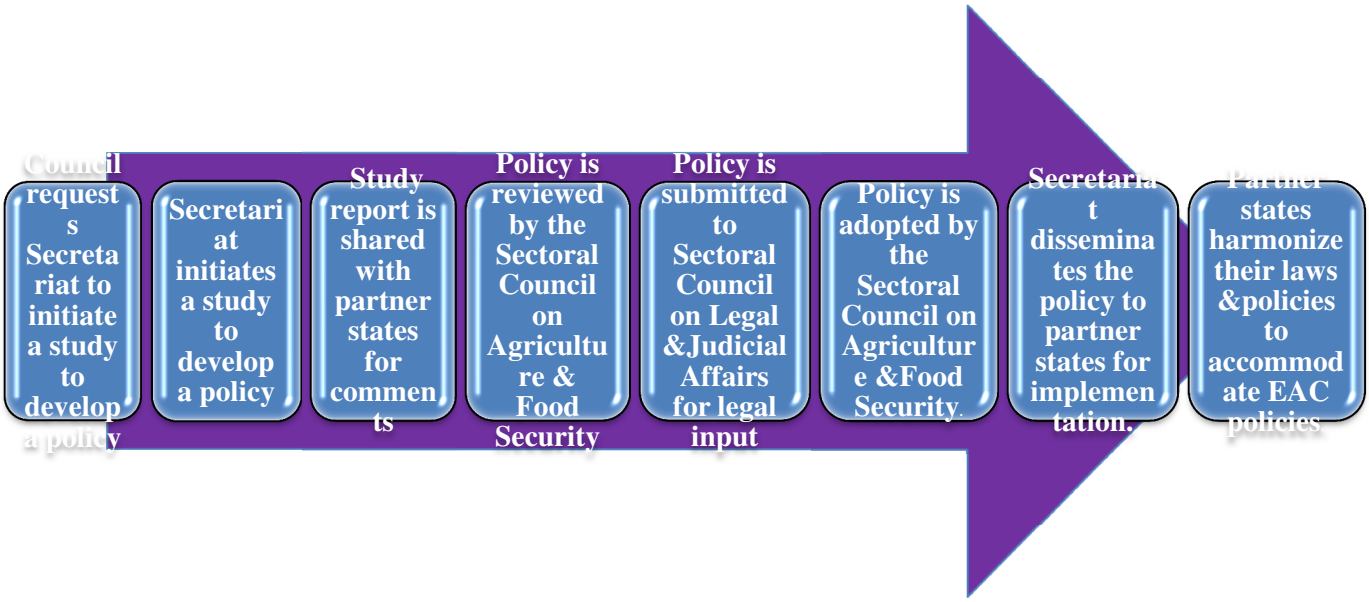
The EAC Treaty should be amended to streamline mandates for each organ and institution of EAC to avoid duplication to fast track the integration process.

EAC POLICY AND LAW MAKING PROCESS

How EAC policies are developed and implemented by partner states. The flow chart below briefly shows how EAC agriculture and food security policies are developed as an example:

- Council of Ministers requests the Secretariat to initiate a study to develop a policy on agriculture (Art. 14(3) EAC Treaty.
- Secretariat initiates a study to develop any agriculture policy (consultancy work) – Art. 71 EAC Treaty
- The policy is sent to partner states for comment.
- Policy is reviewed by the Sectoral Council on Agriculture and Food Security (composed of Ministers of Agriculture from all partner states).
- Policy is submitted to Sectoral Council on Legal and Judicial Affairs for legal input.
- Policy is adopted by the Sectoral Council on Agriculture and Food Security and submitted to the Secretariat.

- Secretariat disseminates the adopted policy into partner states and follows its implementation through its department in charge of agriculture and food security.
- Partner states are requested to harmonize their laws and policies to accommodate EAC policies.



How EAC Laws are Made and Implemented by Partner States

In EAC, the core mandate of making laws is within the East African Legislative Assembly (EALA). However, the development process and tabling of the community bill passes through two organs before it is laid on the table in EALA for adoption by the parliament. As a policy making organ of the community, the Chairperson of the Council of Ministers requests the Secretariat to develop the bill on any area of priority of the community. The Secretariat develops the draft bill and hands it over to the Chairperson of the Council of Ministers who tables it before the parliament.

On the other hand, any Member of Parliament or Committee of EALA can introduce a bill before the parliament for debating and adoption. The member or committee of EALA requests the Clerk of the parliament to prepare a draft bill to be tabled before the house for debate and adoption. The paragraphs below briefly explain types of bills passed by EALA and the processes bills pass through for enactment.

Types of Bills Passed by EALA **(Art. 59 of the EAC Treaty)**

- Council Bills (initiated by the Chairperson of the Council of Ministers)
- Private Member's Bill (introduced by the any Member of the Assembly)
- A Bill initiated by a Committee of the Assembly within its area of competence (introduced by the Chairperson of the Committee as a Private Members' Bill.)
- Urgent Bills: Its motion is moved by a Private Member of the Assembly. (Rule 62 of EALA Rules of Procedure)

Process of passing of Bills by EALA

- Bills shall be printed and published in the Gazette before its introduction to the Assembly
- Bills Reading
- First Reading (Rule 66)

- Bills before the Committee
- Second reading (Rule 68)
- Functions of the Committee on Bills (Rule 69) and adoption of the report
- Motion for the house to resume
- Third Reading (Rule 70)
- Re-committal of Bills (Rule 71)
- Bills are assented to by the Heads of State. (Art. 64).
- The Secretary General of EAC shall cause the publication of the Act in the gazette.
- The Secretariat requests partner states to amend their laws and accommodate EAC laws

Committees

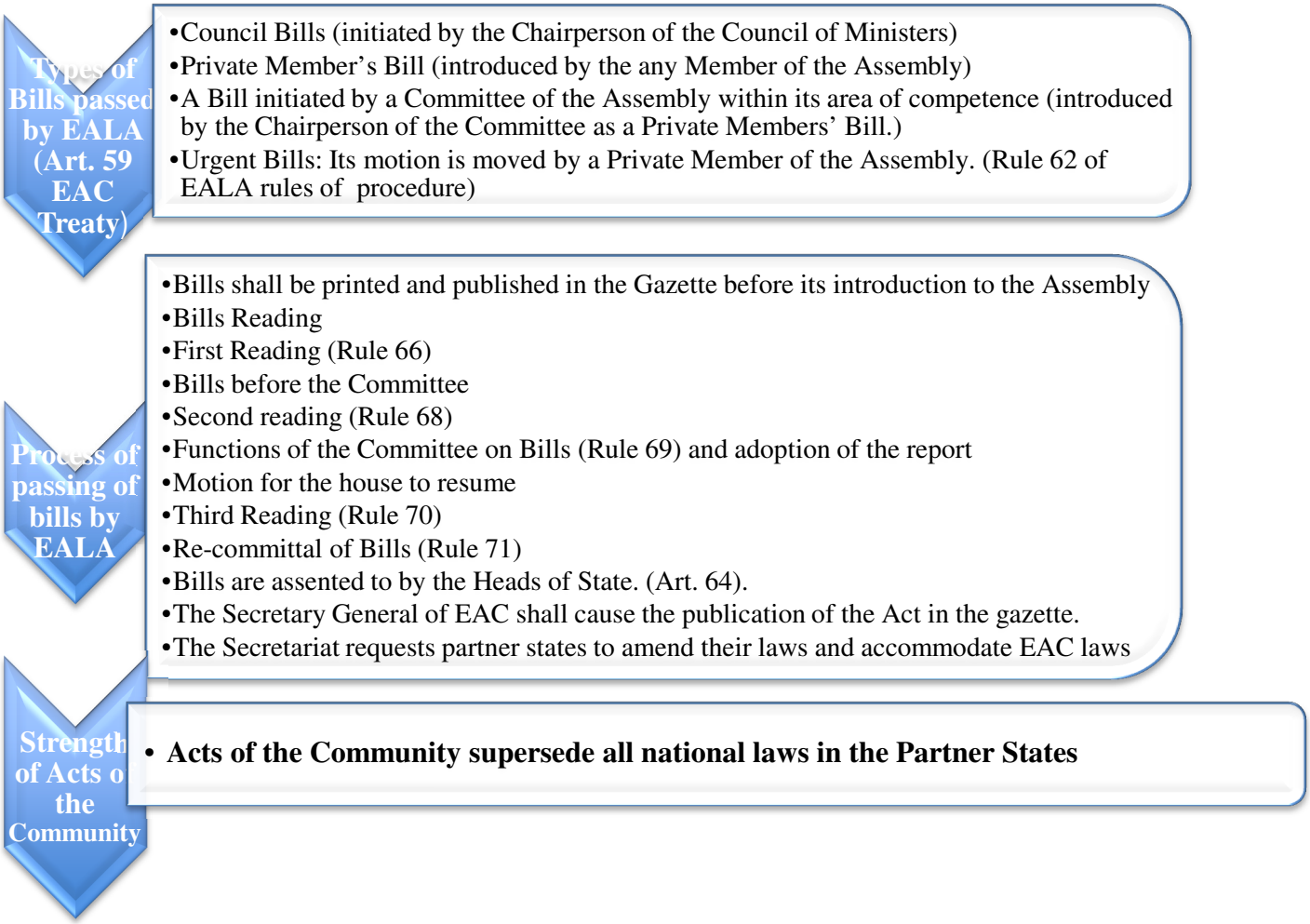
EALA maintains seven standing committees: Accounts; Agriculture, Tourism and Natural Resources; General Purpose; House Business; Legal, Rules and Privileges; Regional Affairs and Conflict Resolution; and Trade Communication and Investment. EALA may also appoint Select Committees as needed. The composition and leadership of each of these Committees is equally shared among the Partners States.

Acts of the Community passed by the Parliament

Art.62 on the Acts of the Community stipulates that the enactment of legislation of the Community shall be effected by means of Bills passed by the Assembly and assented to by the Heads of State, and every Bill that has been duly passed and assented to shall be styled an Act of the Community, When a Bill has been duly passed by the Assembly the Speaker of the Assembly shall submit the Bill to the Heads of State for assent, Every Bill that is submitted to the Heads of State.

Strength of Acts of the Community

Acts, organs and institutions of the Community supersede all national ones on matters pertaining to the implementation of the Treaty.



Actual Practices:

EAC bills are passed by the EALA and assented to by Heads of State for partner states. EAC policies are developed by the EAC Secretariat and adopted by Sectoral Councils under the guidance of the Council of Ministers. Key gaps include:

- The Council, Sectoral Councils, Coordinating Committee and Sectoral Councils do not have enough time to attend to community issues given a huge backlog of community issues to attend to and their permanent duties back home.

Key Reasons for the "Gap":

- The EAC Secretariat does not have enough powers to force partner states to implement community laws.
- Harmonization and approximation of community laws by partner states takes long because laws to be harmonized are many. Priority has been given to commercial laws.

Main Recommendations:

- The EAC should appoint permanent commissioners from the 5 partner states to sit at the Secretariat and attend to daily issues of the community and their countries. The Council is overwhelmed with a lot of work and is composed of ministers who have other duties home.
- The EAC Secretariat should be changed into a Commission to have powers to force partner states to implement community laws and policies to speed up the integration process.

MAIN DOCUMENTATION

EAC organs and Non State Actors involved in Agriculture and Food Security issues:

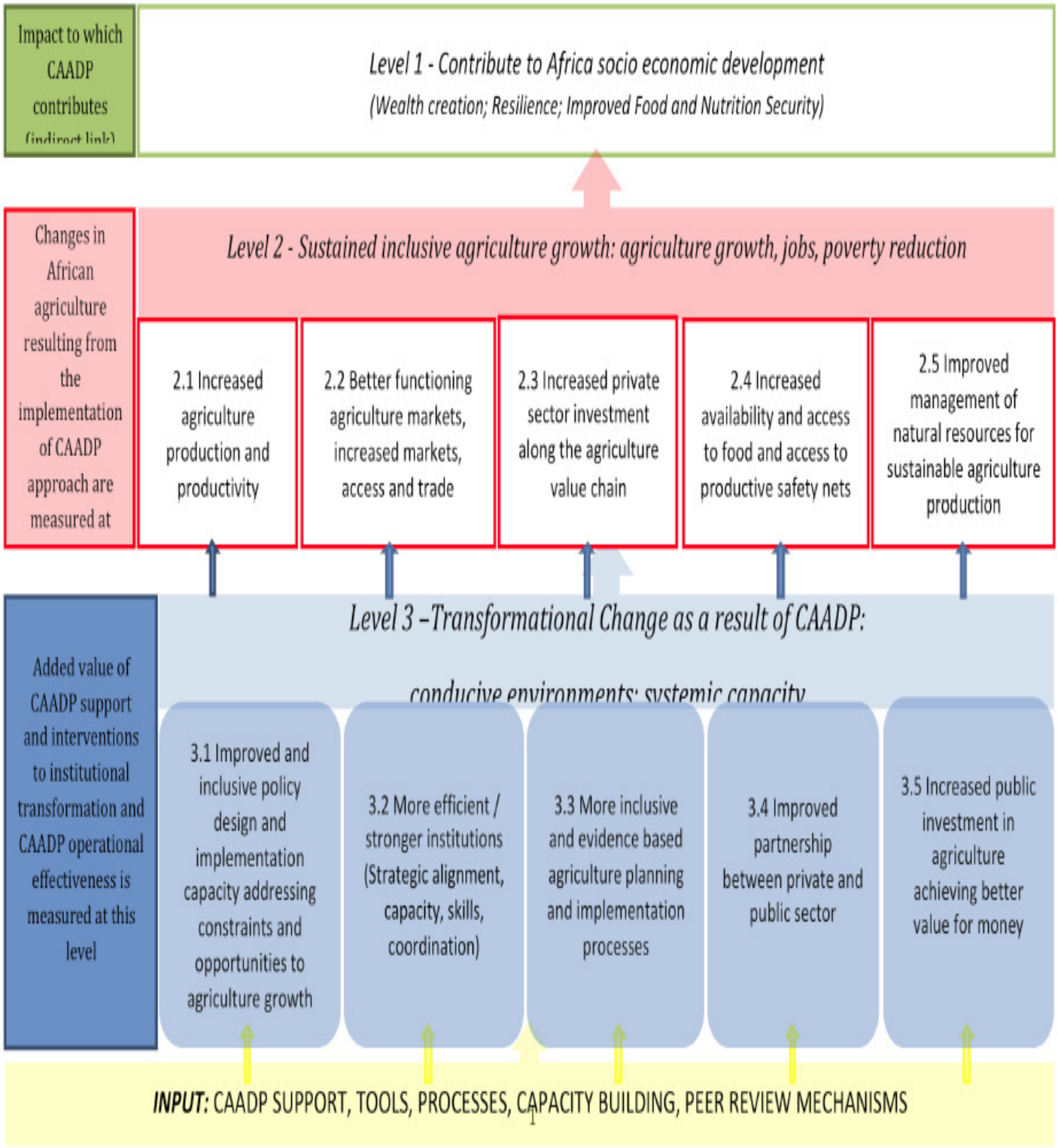
1. EAC Department on Agriculture and Food Security
2. EAC Council of Ministers responsible for agriculture and food security.
3. National Ministries of Agriculture in partner states
4. EALA (Committee on Agriculture, Tourism and Natural Resources)
5. East African Farmers Federation (EAFF) has observer status at EAC
6. EABC (Through PSFs in partner states' chamber of agriculture)
7. Private Sector Federations in partner states (Chamber of Agriculture)
8. USAID national missions in EAC states
9. CAADP Focal persons in EAC region and partner states

Documentation on EAC Food and Agriculture in EAC

1. EAC Agriculture and Rural Development Policy, 2006
2. EAC Food Security Action Plan 2011-2015
3. EAC Regional Food Balance Sheet Framework (priority areas are cereals and pulses, livestock (meat, dairy products and animal fat), fish, horticulture (fruits, vegetables), roots and tubers, Industrial crops (sugar and sugar products, oil crops and vegetable crops)
4. EAC Food Security and Nutrition Policy (considered by a meeting of experts from 25th -26th October, Arusha, Tanzania).
5. Development of the EAC CAADP Region Compact (partner states): Based on 4 pillars: land and water management, market access, food supply and hunger, agricultural research
6. EA Agro-industries and Agro-enterprises Development Program (E3ADP).
7. EAC Livestock Policy
8. EAC Agriculture Development Fund
9. EAC Strategy on Prevention and Control of Transboundary Animal and Zoonotic Diseases.
10. Regional Agricultural Inputs Systems Development Project.
11. EAC Climate Change Policy
12. EAC SPS Protocol
13. Kenya National Federation of Agricultural Producers (KNFAP)

ANNEX 4

Annex 1: CAADP Results Framework



ANNEX 5

Prioritization Criteria: Proposed Framework and Application Process [17]

Proposed Criteria (illustrative)	Outcome Indicator (by 2016)	Impact Indicator (by 2016)	Prioritization Rating (1 to 5)
1) Extent to which proposal supports the strategic priorities (productive services and priority areas) of the 4th Regional Development Plan (2011-2016); (= alignment with overall EAC strategy)			
2) Extent to which proposal supports priority, viable and sustainable activities of the EAC Food Security Action Plan, contributing to regional comparative advantage in production and value-added systems a) "public" regional policies, goods, services b) economic viability indicators (e.g., economic rate of return) (=viability "test") c) comparative advantage indicators (=regional efficiency tests)			
3) Extent to which the proposal promotes and facilitates intraregional trade, with equitable benefits to Partner States; (= trade "test")			

[17] It is proposed that a simple methodology be adopted to rank proposed regional policies and investments, applying the proposed criteria, using objective indicators at the outcome and impact levels to establish objectivity/credibility, and the rating system for each criteria (5=maximum perceived benefits 1 = lowest perceived benefits). To the extent it is possible to obtain evidence, this will enhance the robustness of the prioritization. It is important that a working group apply this criteria in order to reach consensus on each of the criteria, indicators and ratings. The important objective is to establish differential rankings, which therefore, will enable agreement on the priorities. This methodology could be applied to the proposed forthcoming EAC CAADP investment plan.

4) Extent to which the proposal generates tangible, equitable and broad-based benefits (e.g., incomes, jobs) to regional and Partner State stakeholders, comparative advantage in production systems; (= incidence of benefits)

ANNEX 6

RECOMMENDED FRAMEWORK OF CONCEPT NOTE: INSTRUMENT TO FILTER/PRIORITIZE NEW INVESTMENT PROPOSALS

A) OBJECTIVES AND ROLE OF THE CONCEPT NOTE

- Ensure the strategic justification of the policy, Project/program proposal in a manner which responds to the problem tree, aligned fully with Government's/EAC's regional and national and scctoral policies
- Promote the explicit consideration of alternative designs of the proposed policy or regional Project, from the identification stage
- Obtain inputs/guidance from EAC Sectoral Council regarding key issues and the focus of the proposal
- Identify from the outset envisioned risks, as well as appropriate measures
- Provide a better basis for a Management/Sectoral Council decision regarding the approval/non-approval of the concept, before proceeding to the next step of the preparation of the technical proposal (in the form of a feasibility study), and mobilizing Financing
- Facilitates the mobilization of funds with external donors, from the early stages of identification.

B) PRINCIPAL CHARACTERISTICS OF THE CONCEPT NOTE

- Would be prepared by the operational unit responsible, drawing on expert advice, with the support of the Policy and Planning Unit, drawing together relevant and available information, in consultation with some of the key stakeholders [18]
- Brief (maximum of 6 pages)
- Focus on the policy or Project concept (the "why"/rationale, and linkages with the national and sector), and not to focus on Project detailed design, which should be carried out in the subsequent stage (feasibility study)
- Forms an integral part of the PPIG Cycle, to be facilitated by the Policy and Planning Unit, for review and approval by the Sectoral Council, EAC Secretariat Management, and involving key technical staff from the EAC Secretariat and Partner States to facilitate the review and approval (including budgetary) in subsequent stages
- Provides a solid basis for the decision-making process, at an early stage, to generate a pipeline of strategic projects, and well founded, from their outset.

C) PROPOSED FRAMEWORK (max. of 6 pages + 1 short annex)

1. Executive Summary
2. Introduction and Context
3. Objectives
4. Brief Description
5. Cost and Financing Framework
6. Implementation Strategies and Arrangements
7. Expected Benefits/Results and Beneficiaries
8. Sustainability
9. Main Risks and Measures
10. Key Issues /Design Options
11. Next Steps (Preparation Work)/
12. Annex: Preliminray Results Framework

[18] Generally a concept note can be prepared withiin a period of 2-4 weeks, depending on the project complexity, availability of key information, knoledgeable persons, and initial consultations with key stakeholders. A feasbility study could take from 4 to 8 months, depending on the project complexity.

(D) GUIDE FOR THE PREPARATION OF THE CONCEPT NOTE

Theme/Section	Guide (in terms of key questions to address)
1. Executive Summary	Not to exceed 1 page
2. Context	- What are the main problems and causes which the proposal is addressing? - What is the justification of the proponed concept with regards to regional, national and sectoral policies and strategies? - What are key lessons from relevant policies and projects (previous and current)?
3. Objective of the Proposal	- What are the expected impacts with regards to the target Group and geographical area, which can be attributed to the policy/Project? (and what are the linkages with the outcome and impact indicators)?
4. Brief Description	- What are other options considered in the key Concepts? - What are the preliminary components and likely content (for the likely option) - What are the innovative aspects? - What is the implementation period?
5. Preliminary Framework of Costs and Financing	What are the preliminary costs and financing? (or cost range and possible sources of Financing, coverage/Project size).
6. Implementation Strategies and Arrangements	- What is he Operational Unit with the main responsibility for implementation and coordination? – What is the project's implementation strategy (including public-private and public-public partnerships)?
7. Expected Benefits/Results and Beneficiaries	- What are the expected benefits and results, in a preliminary and qualitative manner)? - Who are the expected/targeted beneficiaries (of different strata and type)?
8. Project Sustainability	- What is the strategy to sustain the policy/Project? - How is the sustainability reflected in the design of the Project, including beneficiary participation?
9. Main Risks and Measures	- What are the main risks of the Policy/Project? (in terms of the constraints during implementation to achieve the objectives) - For each principal risk, what are the proponed measures to minimize the adverse effects?
10. Key Issues	- What are the possible constraints during preparation? - What are key design aspects and options (especially in terms of scope) which require Management/Sectoral Council

Theme/Section	Guide (in terms of key questions to address)
	direction? - What are some guidelines or criteria to assess the options?
11. Next Steps:	- What are the arrangements for preparing the feasibility study and Project profile? - What is the Budget and Financing to prepare the feasibility study? - What is the timetable for preparation (feasibility study and Project profile), and the next stops in the Project design?
12. ANNEX	1. Preliminary Problem Tree 2. Preliminary Results Framework.
Management/Sectoral Council Decision	The concept note gives importance to a transparent Management/Sectoral Council decision, in the early stages of preparation.